

PD-ABI-860

12/88910



U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

July 1, 1993

TO: See Distribution
FROM: LAC/DR/PSS, Susan Bugg *SB*
SUBJECT: Brazil Semi-Annual Report (SAR)

Attached for your information and file is a copy of the Brazil SAR for the period Oct. 1, 1992 - March 31, 1993 submitted in accordance with the Agency's Revised Portfolio Review System. State 125805, attached, explains the requirements of the Portfolio Review System.

In addition to the required documents, Brazil also sent in the SAR reports for individual projects. Those addressees with an asterisk next to their name have been sent the summary documents only. If you desire a copy of the complete SAR package, additional copies are available in LAC/DR/PSS, Room 2252 NS.

Attachment: Brazil SAR

Distribution:

LAC/DR:PBloom*, JHradsky*, WNilsestuen*
LAC/DR Finance Division Chief,
Finance Officer, Susan Alexander
LAC/DR Technical Divisions (2 copies each)
LAC Desk Director*, Desk Officer
LAC/DI:KSchofield (2 copies)
LAC/TI:Rstryker (2 copies)
LAC/DPP:JScepanek*, EZallman*
LAC/DPP:ERupprecht (4 copies)
LAC/DR/PSS:JNindel
FA/B:BGreene

MDCSARDI.sb

UNCLASSIFIED
AGENCY FOR INT'L DEV.
TELECOMMUNICATIONS CENTER

OUTGOING
TELEGRAM

PAGE 01 OF 04 STATE 125805 241503Z 2862 026394 AID7410
ORIGIN AID-00

STATE 125805 241503Z 2862 026394 AID7410

INFO TREQ-01 /001 A7 07/1211Z

ANNUAL REPORT MATRIX. AN IMPORTANT PART OF THE NEW SYSTEM IS TO ENSURE STANDARDIZED DEFINITIONS FOR ALL PORTFOLIO REPORTING FROM YEAR TO YEAR AND MISSION TO MISSION AND THAT ALL DATA REPORTED BE CONSISTENT WITH OFFICIAL MISSION RECORDS SYSTEMS, SUCH AS MACS.

ORIGIN OFFICE FAAA-01
INFO AFEA-04 AFSA-03 AFSW-06 AFDP-06 RDPO-01 NIS-03 ASAA-01
AFFE-02 PRMS-01 AFMS-03 OL-01 LACE-01 LASA-02 LACA-03
AALA-01 IG-01 GC-01 FVPP-01 FVMS-01 ES-01 PRPC-02 FAAA-01

THIS CABLE IS A CONTINUATION OF THE INFORMATION DEVELOPED, APPROVED AND REPORTED ON IN REFS A, B AND C, AND IT SHOULD BE USEFUL FOR MISSIONS TO KEEP THESE TOGETHER AS A PACKAGE FOR EASY REFERENCE UNTIL THE REVISED SYSTEM IS INCORPORATED INTO THE AGENCY HANDBOOKS. IT IS IMPORTANT TO NOTE AGAIN THAT EXISTING DELEGATIONS OF AUTHORITY TO FIELD MISSIONS ARE NOT REPEAT NOT AFFECTED BY THIS REQUIREMENT.

IGFA-03 PRFM-01 IGLC-01 SEOP-01 IRMO-01 NEME-03 IGPP-02
IGRM-02 FM-01 FFP-09 SERP-01 SEC-01 AHAD-01 ASPD-02
NENA-03 ASSA-03 NEDP-03 OUT-01 ASEA-02 NEMS-02 LADP-04
NEAA-03 EUAA-02 EURM-01 EUDP-03 EUMS-02 IIPA-01 AFFW-02
WIDE-01 HERB-01 /110 AB 24/1515Z

INFO LOG-00 AF-00 AGRE-00 ARA-00 ANHR-01 EAP-00 EUR-00
10-19 NEA-00 OIG-04 SA-00 /031R

THE FIRST ANNUAL REPORT REQUIRED UNDER THE REVISED PORTFOLIO REVIEW AND REPORTING SYSTEM IS DUE NO LATER THAN JUNE 15, 1993. (LAC MISSIONS: PLEASE NOTE THAT IN STATE 105305, LAC REQUESTED THAT YOU SUBMIT YOUR ANNUAL REPORTS BY MAY 15.) THE APPROPRIATE GEOGRAPHIC AND CENTRAL BUREAUS WILL BE RESPONSIBLE FOR REVIEWING THESE SUMMARY REPORTS AND SUBMITTING A CONSOLIDATED BUREAU REPORT TO THE ADMINISTRATOR.

DRAFTED BY: AID/DAA/FA:RBURKE:RB
APPROVED BY: AID/AA/FA:RAAMES
AID/DAA/FA:BLANGMAID AID/ES:GJOE
AID/ASIA/DR/PD:JDEMPSEY (DRAFT) AID/EUR/PDP:PO'FARRELL (DRAFT)
AID/LAC/DPP:JSTEPANEK (DRAFT) AID/NE/DP:VMOLLDREM (DRAFT)
AID/R&D/PO:JBIERKE (DRAFT) AID/PRE/DP:RVAN RAALTE (DRAFT)
AID/AFR/DP:MBONNER (DRAFT)
AID/FHA/PPE:LTANNER (DRAFT)
AID/NIS/PAC:HJOHNSON (DRAFT)
AID/FA/IRM/IPA:DDICIURCIO (DRAFT)
AID/POL:GHILL (DRAFT)
AID/A/AID:LROGERS (DRAFT)

PLEASE NOTE THAT WHEREVER THIS CABLE SAYS QUOTE FIELD-LEVEL UNQUOTE, ITS REQUIREMENTS APPLY EQUALLY TO GEOGRAPHIC AND CENTRAL OFFICES/BUREAUS WITH PROGRAM-FUNDED PORTFOLIOS. FINALLY, WE WOULD LIKE TO AGAIN EXPRESS OUR THANKS AND APPRECIATION FOR THE MANY EXCELLENT AND COGENT CONTRIBUTIONS MADE BY FIELD MISSIONS AND WASHINGTON-BASED PERSONNEL TO THE SUCCESSFUL INITIATION OF THIS MANAGEMENT IMPROVEMENT. END OF SUMMARY.

R 241502Z APR 93
FM SECSTATE WASHDC
TO AID WORLDWIDE

2. PARAS ONE THROUGH FOUR OF REF A PROVIDED DETAILED INFORMATION ON THE BACKGROUND AND REASONS FOR THE EXERCISE TO IMPROVE PORTFOLIO REVIEW AND REPORTING PRACTICES IN THE

UNCLAS STATE 125805

AIDAC
E.O. 12356: N/A
TAGS:
SUBJECT: GUIDANCE FOR REVISED PORTFOLIO REVIEW SYSTEM

AGENCY. PARAS FIVE THROUGH TEN OF REF A DETAILED AID/W MANAGEMENT RESPONSIBILITIES FOR PORTFOLIO MATTERS, SPECIFYING THE RESPECTIVE RESPONSIBILITIES AT THE FOLLOWING LEVELS: GEOGRAPHIC BUREAU (PARAS 5 AND 6), THE ASSOCIATE ADMINISTRATOR FOR OPERATIONS (PARA 7), THE ASSOCIATE ADMINISTRATOR FOR FINANCE AND ADMINISTRATION (PARA 8), THE DIRECTOR FOR POLICY (PARA 9), AND THE OFFICES OF THE DEPUTY ADMINISTRATOR AND ADMINISTRATOR (PARA 10). THESE RESPONSIBILITIES WERE REAFFIRMED IN THE A/AID ACTION MEMORANDUM DECISIONS (SEE ALSO PARA 2, REF

REF: A) STATE 92-355133, B) STATE 055707, C) STATE 056657

C) .

1. SUMMARY. THIS IS AN ACTION MESSAGE. IT TRANSMITS GUIDANCE FOR THE IMPLEMENTATION OF THE REVISED AGENCY-WIDE PORTFOLIO REVIEW SYSTEM APPROVED BY ACTING A/AID JIM MICHEL ON FEBRUARY 3, 1993. THE REVISED SYSTEM REQUIRES THREE LEVELS OF REPORTING: (1) THE FIELD-LEVEL SEMIANNUAL PORTFOLIO REVIEWS, (2) THE NEW ANNUAL REPORT OUTLINED IN PARA 3, BELOW, AND FURTHER DETAILED IN PARA 5, AND (3) A SUMMARY OF THE ANNUAL REPORTS FROM THE GEOGRAPHIC BUREAUS (AND APPROPRIATE AID/W BUREAUS/OFFICES.)

3. THE NEWLY REQUIRED ANNUAL REPORT HAS THREE COMPONENTS: A MISSION DIRECTOR'S NARRATIVE (SEE PARA 5, SECTION (1), BELOW), A PIPELINE TABLE (THE ABS TABLE FOUR), AND A PROJECT CATEGORY AND OUTLIER MATRIX (SEE PARA 5, SECTION (3) BELOW). THIS REPORT WILL FULFILL THE RESPONSIBILITIES FOR ANNUAL REPORTING ASSIGNED TO FIELD MISSIONS IN THE ACTING ADMINISTRATOR'S DECISION MEMO SIGNED FEBRUARY 3, 1993.

FOR THE FIELD-LEVEL PORTFOLIO REVIEWS, THE CONTENTS AND FORMATTING REMAIN AT THE DISCRETION OF THE GEOGRAPHIC BUREAUS WORKING WITH THE RESPECTIVE MISSIONS, PROVIDED ONLY THAT THEY (1) BE CONDUCTED SEMIANNUALLY AND (2) AT A MINIMUM THEY BE ADEQUATE IN SCOPE TO PRODUCE THE CORE INFORMATION AND DATA REQUIRED IN THE NEW ANNUAL REPORT. FOR THEIR FIELD-LEVEL REVIEWS, MISSIONS AND THE GEOGRAPHIC BUREAUS ARE FREE TO INCLUDE ANY OTHER DATA AND INFORMATION THEY FIND MUTUALLY USEFUL.

4. STANDARD DEFINITIONS FOR FIELD-LEVEL PORTFOLIO REVIEW AND REPORTING. IN THE INTEREST OF CLEAR COMMUNICATIONS, THE FOLLOWING STANDARD DEFINITIONS SHOULD BE USED IN BOTH FIELD-LEVEL REVIEWS AND IN THE ANNUAL REPORTS.

PARA 4, BELOW, PROVIDES A LIST OF STANDARD DEFINITIONS COMMONLY USED IN THE SEMIANNUAL REVIEWS AND ELSEWHERE. PARA 5 PROVIDES GUIDANCE AND STANDARD DEFINITIONS AND MEASUREMENT PARAMETERS FOR DATA ELEMENTS TO BE USED IN THE

(1) PROJECT CATEGORY: INDICATES WHETHER THE ACTIVITY IS DESIGNATED AS A, B OR C. THESE RATINGS MUST BE CONSISTENT

WITH THE FIELD-LEVEL REPORTS AND IN THE MATRIX PORTION OF

BEST AVAILABLE UNCLASSIFIED

2

UNCLASSIFIED
AGENCY FOR INT'L DEV.
TELECOMMUNICATIONS CENTER

OUTGOING
TELEGRAM

PAGE 02 OF 04 STATE 125805 2415032 2862 026394 AID741B
THE NEW ANNUAL REPORT TO THE GEOGRAPHIC BUREAUS AS WELL AS
IN CENTRAL BUREAU/OFFICE PORTFOLIO REPORTS. THE
DEFINITIONS OF THESE CATEGORIES ARE AS FOLLOWS:

STATE 125805 2415032 2862 026394 AID741B
(7) MORTGAGE: THE DIFFERENCE BETWEEN PLANNED LOP FUNDING
AND CUMULATIVE OBLIGATIONS, AS OF THE REPORTING DATE.

CATEGORY A: THESE ARE PROJECTS THE MISSION WISHES TO
CHARACTERIZE AND REPORT ON AS REAL SUCCESS STORIES. NOT
ONLY IS IMPLEMENTATION PROCEEDING WELL UNDER SUCH PROJECTS
WITH ONLY MINOR PROBLEMS, BUT THEY ARE HAVING A
SIGNIFICANT IMPACT ON THE PROBLEMS THEY WERE DESIGNED TO
SOLVE AS INDICATED BY SUCCESSFUL PROGRESS TOWARD THE MOST
IMPORTANT END-OF-PROJECT STATUS (EOPS) INDICATORS.

(8) PIPELINE: THE TOTAL OF THE PROJECT'S LOP OBLIGATED TO
DATE BUT AS-YET UNEXPENDED THROUGH THE SAME DATE.

CATEGORY B: THESE PROJECTS ARE PROCEEDING MORE OR LESS AS
PLANNED THOUGH THEY ARE EXPERIENCING TYPICAL
IMPLEMENTATION PROBLEMS AND MINOR DELAYS WHICH CAN BE
RESOLVED THROUGH NORMAL PROJECT MANAGEMENT. SHORT PACD
EXTENSIONS OF A YEAR OR LESS MAY BE NECESSARY. THE
PROJECT IS STILL EXPECTED TO HAVE A POSITIVE IMPACT ON THE
PROBLEM IT ADDRESSES BUT IMPACT IS STILL UNCERTAIN OR IS
NOT SO SIGNIFICANT TO DATE THAT THE PROJECT CAN BE SINGLED
OUT AS A SUCCESS STORY.

(9) ACCRUED EXPENDITURES AS A PERCENTAGE OF PLANNED
CURRENT FY EXPENDITURES: THIS IS A RATIO EXPRESSED IN
PERCENTAGE TERMS OF PLANNED VERSUS ACTUAL EXPENDITURES FOR
THE CURRENT FISCAL YEAR AS PROJECTED IN THE CONGRESSIONAL
PRESENTATION TABLE TWO FOR THE SAME YEAR. FOR THE FIRST
ANNUAL REPORT THIS WILL BE ACCRUED EXPENDITURES FROM
OCTOBER 1, 1992, THROUGH MARCH 31, 1993.

CATEGORY C: THESE ARE PROJECTS WITH SIGNIFICANT PROBLEMS
WHICH REQUIRE EXTRA ATTENTION FROM SENIOR MISSION
MANAGEMENT OR, ON AN EXCEPTIONAL BASIS, FROM SENIOR
WASHINGTON BUREAU MANAGEMENT. CATEGORY C PROJECTS MAY
HAVE ONE OR MORE OF THE FOLLOWING TYPES OF PROBLEMS: THE
PROJECT IS SIGNIFICANTLY BEHIND SCHEDULE; A PACD EXTENSION

(10) CUMULATIVE ACCRUED EXPENDITURES: ALL ACTUAL
DISBURSEMENTS PLUS ACCRUED AMOUNTS FROM THE BEGINNING OF
THE PROJECT THROUGH THE REPORTING DATE.

OF MORE THAN ONE YEAR IS LIKELY; THE HOST COUNTRY OR NGO
NO LONGER APPEARS TO SUPPORT THE PROJECT; THE HOST
COUNTRY/NGO IS NOT PROVIDING PLANNED RESOURCES AND THE

(11) UNCOMMITTED BALANCE: THE TOTAL AMOUNT IN DOLLAR TERMS
THAT HAS BEEN OBLIGATED BY PROJECT AGREEMENT BUT NOT YET
SUBOBLIGATED (COMMITTED) BY A CONTRACT, GRANT, PURCHASE

SHORTFALL SIGNIFICANTLY IMPEDES IMPLEMENTATION;
EXPENDITURE OF AID'S ASSISTANCE IS MOVING VERY SLOWLY,
I.E., THE PIPELINE EXCEEDS THAT PLANNED BY A LARGE MARGIN;
IT IS POSSIBLE THAT PROJECT IMPACT WILL BE MUCH LESS THAN
PLANNED; ACHIEVEMENT OF MACROECONOMIC OR OTHER POLICY-
BASED CHANGE IS SERIOUSLY LAGGING OR IS IN DOUBT; THE
IMPLEMENTATION AGENCY SEEMS INEFFECTIVE, UNABLE OR
UNWILLING TO IMPLEMENT THE PROJECT; OR THE PROJECT HAS
MAJOR AUDIT PROBLEMS.

ORDER, ETC. THIS ONLY APPLIES TO ACTIVITIES FOR WHICH THE
PRIMARY OBLIGATION IS A PROJECT AGREEMENT. IT DOES NOT
APPLY TO AID/W OR OTHER PROGRAMS WHICH OBLIGATE BY
CONTRACT OR GRANT.

(2) PERCENTAGE OF LOP ELAPSED: THE NUMBER OF MONTHS SINCE
INITIAL OBLIGATION DIVIDED BY THE NUMBER OF MONTHS IN THE
AUTHORIZED LOP, INCLUDING MONTHS ADDED BY APPROVED PACD
EXTENSIONS.

5. FOR PREPARATION OF THE NEW ANNUAL REPORTING
REQUIREMENT, THE FOLLOWING GUIDANCE APPLIES. AS NOTED
EARLIER IN THIS CABLE AND IN PARA 2 OF REF C, THERE ARE
THREE COMPONENTS TO THE NEW ANNUAL PORTFOLIO REPORT, I.E.,
(1) A MISSION DIRECTOR'S NARRATIVE, (2) THE ABS TABLE
FOUR, WHICH IS A PROJECT AND PROGRAM SUMMARY TABLE, AND
(3) A MATRIX LISTING ALL MISSION ASSISTANCE ACTIVITIES,
INCLUDING ALL DOLLAR ASSISTANCE ACTIVITIES, ALL PL-480,
ALL LOCAL CURRENCY (LC) PROGRAMS MANAGED BY THE MISSION,
AND ALL GUARANTEE PROGRAMS. THE MATRIX MUST INCLUDE A
PROJECT DESIGNATION OF A, B OR C FOR EACH ACTIVITY AND
INFORMATION AS TO WHETHER KEY APPLICABLE PERFORMANCE
INDICATORS ARE OUTSIDE OF SPECIFIC NORMS. IN THE CASE OF
PL-480, LC AND GUARANTEE PROGRAMS, THE MISSION DIRECTOR'S
NARRATIVE RATHER THAN THE MATRIX SHOULD BE USED TO BRIEFLY
DESCRIBE THEIR STATUS USING INFORMATION MORE PERTINENT TO
THESE KINDS OF PROGRAMS. HOWEVER, ALL ACTIVITIES, THESE
INCLUDED, MUST BE LISTED ON THE MATRIX AND GRADED.

(3) PERCENTAGE OBLIGATED THAT IS EXPENDED: THE CUMULATIVE
ACCRUED EXPENDITURES FOR A GIVEN PERIOD DIVIDED BY THE
TOTAL AMOUNT OBLIGATED THROUGH THE SAME PERIOD.

(1) THE MISSION DIRECTOR NARRATIVE. MISSIONS IN
COOPERATION WITH THEIR RESPECTIVE GEOGRAPHIC BUREAUS ARE
FREE TO STRUCTURE THE FORMAT AND CONTENTS OF THIS
NARRATIVE PROVIDED ONLY THAT IT INCLUDES AT A MINIMUM
DISCUSSION OF THE FOLLOWING ELEMENTS. THE TOTAL NARRATIVE
LENGTH SHOULD NOT EXCEED THREE PAGES.

(4) ACCRUED EXPENDITURES: COSTS FULLY DISBURSED AND
DOCUMENTED FOR A GIVEN PERIOD PLUS COSTS INCURRED TO DATE
FOR GOODS RECEIVED AND SERVICES RENDERED OVER THE SAME
PERIOD. FOR SUCH GOODS RECEIVED AND SERVICES RENDERED,
EXPENDITURES ACCRUE REGARDLESS OF WHEN CASH PAYMENTS ARE
MADE OR WHETHER INVOICES HAVE BEEN RECEIVED. THE ACCRUED
EXPENDITURES FOR A GIVEN PERIOD MUST BE THE SAME AS THOSE
REPORTED IN THE MISSION'S MACS SYSTEM.

(A) A BRIEF OVERVIEW STATEMENT ASSESSING THE STATUS OF THE
ENTIRE PORTFOLIO.

(5) CURRENT FY OBLIGATIONS TO DATE: THE AMOUNT OF FUNDS
OBLIGATED TO DATE DURING THE CURRENT FISCAL YEAR.

(B) A SECTION ON ACTIVITY HIGHLIGHTS CENTERED ON POSITIVE
RESULTS.

(6) CUMULATIVE AMOUNT OBLIGATED: THE TOTAL AMOUNT
OBLIGATED FOR THE PROJECT FROM THE DATE OF INITIAL
OBLIGATION TO THE DATE ON WHICH THE REPORT IS BASED.

(C) A SECTION ON SIGNIFICANT PROBLEMS AND DELAYS IN
SPECIFIC PROJECTS OR ACTIVITIES.

(D) A DISCUSSION OF THE PIPELINE STATUS AND PROSPECTS.

BEST AVAILABLE COPY

UNCLASSIFIED

3

UNCLASSIFIED

OUTGOING TELEGRAM

AGENCY FOR INT'L DEV. TELECOMMUNICATIONS CENTER

PAGE 03 OF 04 STATE 125805 241503Z

2862 026394 AID7410

STATE 125805 241503Z

2862 026394 AID7410

(E) FOR THE FIRST ANNUAL REPORT ONLY, A BRIEF DESCRIPTION OF THE MISSIONS SEMIANNUAL REVIEW AND REPORTING SYSTEM

FOLLOWS. DATA FOR ALL INDICATORS EXCEPT FOR PIPELINE SIZE SHOULD BE AS OF MARCH 31, 1993, FOR THE FIRST ANNUAL REPORT. PIPELINE SIZE SHOULD BE AS OF THE END OF FY 1992. IF THE INDICATORS ARE WITHIN THE DEFINED PARAMETERS, LEAVE THE BOX BLANK.

ALONG WITH ANY RECOMMENDATIONS YOU WISH TO MAKE ON IMPROVING THIS REPORTING AND OVERSIGHT SYSTEM.

(2) THE ABS TABLE FOUR, CONTAINING PIPELINE AND MORTGAGE DATA. PLEASE INCLUDE A SEPARATE COPY OF THE ABS TABLE FOUR WITH THE ANNUAL PORTFOLIO REPORT.

COLUMN 3 - PROJECT DESIGNATION: A, B OR C AS DEFINED IN PARA 4, SECTION (1), ABOVE. TO REPEAT, EVERY ACTIVITY LISTED IN THE LEFT-HAND VERTICAL COLUMN MUST HAVE A

PROJECT DESIGNATION, I.E. A, B OR C.

(3) THE MATRIX. THE MATRIX FORMAT AND CONTENTS WILL BE INCLUDED IN A DISKETTE TO BE SENT TO THE MISSIONS SEPARATELY ON OR ABOUT MAY 1. INITIALLY, HOWEVER, YOU MAY

COLUMN 4 - STATUS OF CONDITIONS PRECEDENT (CP): CITE ONLY IF THERE ARE AS-YET UNMET CP'S OLDER THAN 18 MONTHS.

FIND IT USEFUL TO PRINT YOUR OWN MATRIX USING THE INFORMATION PROVIDED HEREIN. THIS MATRIX FORMAT SHOWS IN THE LEFT HAND VERTICAL COLUMN ALL, REPEAT ALL, MISSION-MANAGED ACTIVITIES AND THE ACTIVITY IDENTIFICATION NUMBER. THE HORIZONTAL LINE WILL INCLUDE A NUMBER OF BOXES, EACH REFERRING TO A SPECIFIC FINANCIAL OR PERFORMANCE INDICATOR. THE HEADINGS IN ORDER FROM LEFT TO RIGHT ARE: COLUMN 1 - PROJECT NAME AND NUMBER; COLUMN 2 - DATE OF INITIAL OBLIGATION; COLUMN 3 - PROJECT DESIGNATION; COLUMN 4 - STATUS OF CP'S; COLUMN 5 - SIZE OF PIPELINE; COLUMN 6 - AGE OF PIPELINE; COLUMN 7 - ACCRUED EXPENDITURES; COLUMN 8 - UNCOMMITTED BALANCE; COLUMN 9 - EOPS-A; COLUMN 10 - EOPS-B; COLUMN 11 - AUDIT-A; COLUMN 12 - AUDIT-B; COLUMN 13 - EVALUATION- A, COLUMN 14 - EVALUATION-B.

COLUMN 5 - SIZE OF PIPELINE: CITE IF PIPELINE EXCEEDS TWO YEARS ESTIMATED EXPENDITURES USING AN AVERAGE OF THE LAST THREE YEARS OBLIGATIONS AS THE BASE, I.E., UNEXPENDED OBLIGATIONS AS OF SEPTEMBER 30, 1992 DIVIDED BY THE AVERAGE OF OBLIGATIONS IN FY 91, 92, AND CURRENT PLANNED FOR 93. FOR NEWER PROJECTS, THE BASE WOULD BE THE AVERAGE ANNUAL OBLIGATIONS SINCE INCEPTION.

THESE BOXES ARE TO BE CHECKED (ACTUAL DATA NOT REQUIRED) ONLY IF THE MEASUREMENT PARAMETER FOR THAT INDICATOR EXCEEDS OR FALLS SHORT OF THE INDICATOR'S DEFINITION AND MEASUREMENT PARAMETER. IF THE SAME CONDITION EXISTED AT THE END OF THE PREVIOUS REPORTING PERIOD (FOR THIS FIRST REPORT THAT WOULD BE THE FISCAL YEAR ENDING SEPTEMBER 30, 1992), THE MATRIX BOX SHOULD CONTAIN TWO CHECKS. THE SOURCE OF ALL FINANCIAL OR PERFORMANCE INDICATORS SHOULD BE THE FIELD-LEVEL SEMIANNUAL REVIEW.

COLUMN 6 - AGE OF PIPELINE: CITE IF ANY OBLIGATION REMAINS MORE THAN 50 PERCENT UNEXPENDED FOUR YEARS AFTER THE OBLIGATION WAS MADE.

COLUMN 7 - ACCRUED EXPENDITURES: CITE IF ACCRUED EXPENDITURES ARE LESS THAN 60 PERCENT OF PLANNED CURRENT FY AMOUNTS SHOWN IN THE MACS REPORT (OR SIMILAR ACCOUNTING SYSTEM).

COLUMN 8 - UNCOMMITTED BALANCE: CITE IF BALANCE EXCEEDS 50 PERCENT OF OBLIGATIONS 18 MONTHS AFTER MOST RECENT OBLIGATION.

COLUMN 9 - EOPS ONE: CITE IF MISSION BELIEVES THERE IS

LITTLE TO NO CHANCE OF ACHIEVING THE MOST IMPORTANT EOPS BEFORE CURRENT PACD.

COLUMN 10 - EOPS TWO: CITE IF EOPS ARE BEING ACHIEVED AT HIGHER LEVEL OR FASTER RATE THAN PLANNED.

COLUMN 11 - AUDIT ONE: CITE IF A FINANCIAL AUDIT HAS NOT BEEN DONE IN THE LAST 18 MONTHS.

COLUMN 12 - AUDIT TWO: CITE IF THERE ARE UNRESOLVED INSPECTOR GENERAL (IG) RECOMMENDATIONS OLDER THAN SIX MONTHS.

COLUMN 13 - EVALUATION ONE: CITE IF THE ACTIVITY HAS NOT BEEN EVALUATED IN THE LAST THREE YEARS.

COLUMN 14 - EVALUATION TWO: CITE IF ACTIVITY HAS PROJECT EVALUATION SYSTEM (PES) RECOMMENDATIONS STILL OPEN SIX OR MORE MONTHS AFTER PES TARGET DATE FOR CLOSURE.

THE MATRIX CONTAINS PROGRAM AREAS INDICATIVE OF VARIOUS ASPECTS OF PORTFOLIO MANAGEMENT. INDICATORS OF THIS TYPE CAN OVER-EMPHASIZE POTENTIALLY NEGATIVE OUTCOMES. SPECIAL EFFORT WILL BE NEEDED TO ACHIEVE BALANCED REPORTING. WE EXPECT THE FIRST CYCLE OF THIS REPORTING TO BE A LEARNING

PROCESS AND PLAN TO EVALUATE THE MANAGEMENT UTILITY OF THESE INDICATORS, ALTERNATIVES TO THEM OR OTHERS AS WE GAIN EXPERIENCE. YOUR OWN COMMENTS ON THE UTILITY OF THESE INDICATORS OR SUGGESTIONS OF OTHERS WOULD BE APPRECIATED.

AS NOTED IN THE FIRST PARAGRAPH OF PARA 5, ABOVE, TO THE EXTENT ACTIVITY DATA (PRINCIPALLY FINANCIAL) IS NOT RELEVANT OR ATTAINABLE FOR ACTIVITIES SUCH AS LOAN GUARANTEES, PL-480, LC, ETC., THE PARTICULAR HORIZONTAL

BOXES SHOULD BE MARKED NA FOR NOT APPLICABLE. HOWEVER, ALL ACTIVITIES SHOULD BE GIVEN A PROJECT CATEGORY DESIGNATION CONSISTENT WITH THE A,B,C DEFINITIONS GIVEN IN PARA 4, SECTION (1), ABOVE. START-UP DATES AND THE STATUS OF EOPS, AUDIT AND EVALUATION OUTLIERS SHOULD, TO THE FULLEST EXTENT POSSIBLE, BE USED FOR ALL ACTIVITIES.

THE STANDARD DEFINITIONS FOR SPECIFIC MATRIX INDICATORS AND THE APPLICABLE MEASUREMENT PARAMETERS FOR THEM ARE AS

6. THE DUE DATE FOR RETURNING THE DISKETTE WITH THE ANNUAL REPORT IS NO LATER THAN JUNE 15, 1993 (EXCEPT FOR

4

UNCLASSIFIED
AGENCY FOR INT'L DEV.
TELECOMMUNICATIONS CENTER

OUTGOING
TELEGRAM

PAGE 04 OF 04 STATE 125605 241503Z 2802 026394 AID7410
LAC AS NOTED IN THE FIFTH PARAGRAPH OF THE SUMMARY
SECTION, ABOVE).

7. IN CLOSING, THE REVISED PORTFOLIO REVIEW AND REPORTING

PROCESS, PARTICULARLY THE ANNUAL REPORT, WILL BE SUSTAINABLE ONLY TO THE DEGREE THAT IT SERVES THE NEEDS OF FIELD MISSIONS AND WASHINGTON USERS. THOUGH THE CHANGES AND NEW REQUIREMENTS ARE RELATIVELY MODEST IN STAFF DEMAND TERMS, THEY ARE IMPORTANT MANAGEMENT AND OVERSIGHT IMPROVEMENTS AND ARE RESPONSIVE TO THE INTERNAL AND EXTERNAL DEMANDS FOR SUCH IMPROVEMENTS. THE VIEWS OF FIELD UNITS ARE IMPORTANT CONTRIBUTIONS TO THESE OVERALL GOALS AND AS THE PROCESS CONTINUES TO UNFOLD, COMMENTS AND SUGGESTIONS ARE WELCOME. EARLIER CONTRIBUTIONS WERE VITAL IN ADVANCING THE PROCESS THUS FAR. COMMENTS SHOULD BE ADDRESSED TO RICHARD BURKE BY E-MAIL, CABLE, MEMO, FAX OR PHONE. MR. BURKE CAN BE REACHED AT 202-647-4632 (FAX), 202-736-4297 (PHONE) OR AT AA/FA, ROOM 3665 NS. YOU MAY ALSO INCLUDE COMMENTS YOU THINK APPROPRIATE IN THE MISSION DIRECTOR'S NARRATIVE OR BY SEPARATE MEMO SUBMITTED WITH THE FIRST REPORT. PLEASE PROVIDE YOUR GEOGRAPHIC BUREAU WITH COPIES OF SUCH COMMENTS. FINALLY, THANK YOU AGAIN FOR YOUR EARLIER CONTRIBUTIONS TO THE DESIGN OF THE NEW PORTFOLIO REVIEW AND REPORTING SYSTEM.
CHRISTOPHER

BEST AVAILABLE COPY

UNCLASSIFIED

5

AID REPRESENTATIVE'S NARRATIVE- BRAZIL

Approximately a year has passed since new AID/Brazil strategies for Family Planning and AIDS Prevention and a consolidated strategy for Environment (Global Climate Change) were approved by AID/W. These three programs reflect AID/Brazil's three strategic objectives. This small MDC office has limited its additional activities to modest programs in a) narcotics awareness; b) democratic initiatives; and c) economic policy training. Our portfolio has been reduced by three projects over the last year as AIDSTECH, AIDSCOM and CETREM/SUL (OFDA) have been terminated. In addition we have reduced the number of Family Planning Cooperating Agencies (CAs) working with us in Brazil from 25 to 12.

Over the past year we have been very much in an implementation mode, focusing on developing Implementation Plans for the Family Planning and AIDS Prevention strategies and tightening up our GCC grants. Several new Family Planning initiatives are underway in our two target states of Ceara and Bahia and in encouraging greater private sector provision of contraceptive methods and family planning services. CAs and their Brazilian counterpart agencies have now accepted the idea that AID is gradually phasing out FP assistance. BEMFAM, our largest sub-grantee, plans to import and sell low-cost contraceptives as part of a new sustainability program. Pathfinder will develop a phase out plan over the next few months. Thus far the FP strategy is being implemented on schedule.

I feel that progress on implementing our new AIDS Prevention strategy via AIDSCAP is doing reasonably well. The AIDSCAP office in Sao Paulo has been established, an Implementation Plan prepared and approved, and 6 of a projected 10 subprojects submitted for AID/B approval. Most subprojects will be initiated about 6 months behind schedule which I attribute to a learning curve for new FHI AIDSCAP staff in Washington and their Brazilian staff here. The Behavioral Research program was initiated on schedule. Also the AID mission and AIDSCAP have provided timely, high quality TA to help the Ministry of Health prepare several components of a new \$250 million AIDS loan from the IBRD.

The Environment/Global Climate Change program is more complex. At our annual GCC Coordination meeting in January an evaluation strategy for the strategic and program objectives was hammered out and (surprisingly) enthusiastically agreed upon by our eight program grantees. In addition they all prepared logical frameworks for their grants, which will be the basis for future grant evaluations.

Most GCC program activities are carried out via Brazilian NGOs and state/local government institutions. Those that depend on federal government support (e.g. a review of forestry policy) have been delayed by frequent changes in GOB environmental leadership. These leaderships changes have also slowed design of the \$250 million G-7 Pilot Program for the Amazon, managed by the IBRD. The AID Mission and key personnel from several AID grantees have participated in design/appraisal missions to develop the 13 components of this ambitious program.

Regarding our other activities, the Narcotics Awareness program is going exceedingly well (as noted below). The new Economic Policy Training program has been established, priorities determined, and three groups of key Brazilian leaders have benefited from short-term training programs in the U.S. The Embassy's focus on Democratic Initiatives has shifted from Juvenile Justice to Anti-Corruption. We hope to design a series of interventions to support Brazil's wave of interest in reducing corruption via the Regional Financial Management Support project and the new Partners Regional Democratic Arts project.

Highlights:

-AID/Brazil's Narcotics awareness activities were given high praise by an independent team evaluating programs throughout Latin America. The team strongly supported our strategy focus on two key states and concluded that we were getting excellent results from a very limited investment of AID resources. The team also complimented AID/Brazil efforts to increase the effectiveness of other donor NAE programs (UNDCP, France, EEC).

-Family Planning: After almost a year of dialogue, the Brazilian leadership of BEMFAM, the largest Family Planning NGO in Brazil, has accepted the need to diversify its program to ensure future sustainability. BEMFAM hopes build on its considerable expertise in the management and logistics of contraceptives by establishing a for-profit subsidiary which would import and sell low-cost contraceptives to Brazilian private and public institutions. If successful, the venture would provide BEMFAM with additional funding as AID phases out the provision of free contraceptives via BEMFAM.

Environment: AID/Brazil, working closely with several U.S. PVOs and other GCC grantees, prepared five proposals for the Forests for the Future Initiative announced by Pres. Bush at the UNCED conference in Rio in June, 1992. All were approved as high priorities by a White House Working Group and partial funding (\$4.1 million) was announced for three proposals at a Rose Garden ceremony in January 1993.

Problems/Delays:

-As noted above, frequent changes in GOB environmental leadership (5 ministers in 18 months) have delayed implementation of some GCC activities and has slowed the design/appraisal process for the G-7 Pilot Program for the Amazon.

7

-Juvenile Justice: The Ambassador and AIDREP backed off funding for a new juvenile justice pilot program in Rio de Janeiro due to politization and uncertainty in government financial support. Nevertheless Partners consultants have continued to work with a "Rio Juvenile Justice Group", trained by AID to develop a strategy for judicial system reform for juveniles. Elements of this strategy will be submitted to an IDB-supported street children program for possible funding.

Pipeline Status and Prospects:

The Family Planning and AIDS strategies are new and essentially have no pipeline problems. FY93 obligations for two GCC grantees with large pipelines (WWF and Univ. of Florida) has been reduced or zeroed out. The Partners pipeline has been reduced over the past 18 months the from \$524,000 to \$317,000 and should be drawn down further. The SUNY participant training contract is in high gear, providing short-term training to support AID/Brazil program objectives and we expect that all FY92 funds will be expended by September 1993.

AID/Brazil Semiannual Review and Reporting System:

As an MDC, AID/Brazil is only required to conduct and submit SARS in the Spring. Nevertheless we will continue to conduct semiannual reviews.

01-3
 Date in FT
 Date Complete E.

000

00-1993 13:03

1 PROJECT NO. AND NAME	2 DATE OF OBLIGATION	3 PROJECT DESCRIPTION (F, B, Q)	4 STATUS OF O/F (Do any of these or is an amount O/F a year than 10 months)	5 SIZE OF PIPELINE (Do 4 pipes exceed 8 years without enough annual obligations)	6 AGE OF PIPELINE (Do 8 any obli- gation exceeds more than 80% unexpired in years (Do: in Col obligation)	7 ASSIGNED SUPERVISORS (Do 8 annual inspections or was P-82 h of abroad)	8 UNCOMPLETED BALANCE (Do 8 balance exceeds 50% of obligation in months after the last year)	9 SOPS A. (Do 8 balance be more than 5 % the change of last year (SOPS before current FIC2)	10 SOPS B. (Do 7 SOPS are being analyzed at higher budget level more than abroad)	11 ASSET A. (Do 8 financial substance not lower than 7% of: 10 months)	12 ASSET B. (Do 8 the on processes unexpended order than six months)	13 FINANCING A. (Do 4 project has not been evaluated in last three years)	14 EVALUATION B. (Do 7 ability has P80 unexpended amount O/F more than 10 years P80 budget data for review)
512-0700-C-0043-00	FT '90 FT '91	A	N/A	--	--	YES	--	--	--	--	--	--	--
UNIVERSITY OF FLORIDA 512-0700-C-00- 0040-00	FT '90	B	N/A	--	--	YES	--	--	--	--	--	--	--
MLI 512-0700-C-00- 0046-00	FT '91	B	N/A	--	--	YES	--	--	--	--	--	--	--
CHRYSLER FSC-0000-122-00- 0044-00	FT '91	B	N/A	--	--	--	--	--	--	--	--	--	--
UNIVERSITY MISS. 512-0700-F-00- 0044-00	FT '91	B	N/A	--	--	--	--	--	--	--	--	--	--
NSA 512-0700-P-00- 0045-00	FT '90	B	N/A	--	--	--	--	--	--	--	--	--	--
COLUMBIA UNIVERSITY 512-0700-C-00- 0045-00	FT '92	B	N/A	--	--	--	--	--	--	--	--	--	--

5501229130

US EMBASSY BRASILIA

P.02

0 0 1

Do-79
 Don M-42
 Don Comp-42

GCC

J-08-1983 13:04

1 PROJECT NO. AND NAME	2 DATE OF PAYMENT OBLIGATION	3 PROJECT DESCRIPTION (U.S. \$)	4 STATUS OF GP (Do not if more than 1 year from 10 ending)	5 AGE OF PAYABLE (Do it please within 2 years collected average normal obligation)	6 AGE OF PAYABLE (Do it any oblig- ation within 2 years after 10 ended)	7 ACCUMULATED EXPENDITURE (Do it normal obligation to pay less than 10% of normal)	8 UNCOMMITTED BALANCE (Do it within normal 10% of obligation 10 months after the 101 ending)	9 DPS (Do it when is less than 10 the amount of outstanding DPS before current PAGE)	10 DPS (Do it if DPS are being collected at higher level of than 10% than normal)	11 ADJUST (Do it if financial condition not less than 10% of 10 normal)	12 ADJUST (Do it if the circumstances unfavorable under than 10 normal)	13 COMPLETION (Do it project has not been paid, and in last 1 year)	14 PAYMENT (Do it within 10 months after 10 ended 10 or more than 10 year 10% target date for 101)
WORLD FOOD REP-FDC-982 B-4	FT '91	A	N/A	-	-	-	-	-	YES	-	-	-	-
WORLD BANK FDC 982 B-1	FT '91	A	N/A	-	-	-	-	-	YES	-	-	-	-
INTERNATIONAL REP-FDC-982-C-8	FT '91	B	N/A	-	-	-	-	-	-	-	-	-	-

5581258136

US EMBASSY BRASILIA

P.05

18

Ch. 17
Due to C:
Don Complete:

ALBIA/ALBIS

1 PROJECT NO. AND NAME	2 DATE OF OBLIGATION	3 PROJECT DESCRIPTION (F.R.D.)	4 CATEGORY OF CP (The way of flow and an F.R.D. based CP is other than F.R.D.)	5 SIZE OF PIPELINE (The pipeline category is year estimated average annual obligation)	6 AGE OF PIPELINE (The way of obli- gation is year F.R.D. are reported in year after in Cal obligation)	7 UNRECOVERED EXPENSES (The amount reported in the last F.R.D. is of amount)	8 UNRECOVERED BALANCE (The balance category is of obligation is reported after the last year)	9 DATE (The balance is over than 6 months of reporting (BPS is over other F.R.D.)	10 DATE (The B BPS are being reported or after last of last year are over reported)	11 ASSET (The amount reported is not less than 10% of reported)	12 ALIAS (The B BPS are over reported other than the reported)	13 GUARANTEE (The B BPS are not less than 10% of reported)	14 DECLARATION (The B BPS are not less than 10% of reported)
ALBISCOM NVE-3834-2-00- 0000-00	PT '89	A	MA	-	-	200 (20%)	-	-	YES	-	-	-	-
ALBISCOM NVE-3834-2-00- 0000-00	PT '92	B	MA	-	-	-	-	-	NO	-	-	-	-
ALBISCOM NVE-3972-2-00- 7057	PT '88	B	MA	-	-	-	-	-	NO	-	-	-	-
ALBISCOM NVE-3972-2-00- 00-7070	PT '88	B	MA	-	-	-	-	-	NO	-	-	-	-

46-08-1893 13107

5561259136

5 EMBASSY BRASILIA

P.06

8

Handwritten signature or initials.

**PROJECT STATUS REPORT
CY 1993**

1. BACKGROUND DATA

Project Title: *Expansion and Improvement of Family Planning Services in Latin America and the Caribbean: The Transition to Sustainable Programs - IPPF/WHR*

Project Number: 936-3065

Coop. Agreement Number: CCP 3065-A-00-2018-00

Date of Authorization: FY 92

Date of Obligation: FY 92

PACD: June, 1997

Implementing Agencies: IPPF/WHR

Major Contractors: N/A

AID Project Manager: Anne Wilson (R&D/POP)

Status of CPs/Covenants: N/A

Date of Last Evaluation: _____ Next Evaluation: early 1995

Date of Last Audit: CY 1992 Next Audit: CY 1993

FINANCIAL DATA

Amount Authorized: \$ 13.942 million (LOP - AID funds only)
\$ 1.188 million Matching Grant for Brazil (est.)

Amount Obligated: \$.613 million MG for Brazil (est.)

Amount Committed: \$.613 million MG for Brazil (est.)

Period: CY 1993

Amount Programmed: \$ 612,500

Accrued Expenditures:

Period: CY 1993

 Projected: \$ 612,500

 Actual: \$ 612,500

 Cummulative: \$ 1,187,500

 Next six months: \$ 594,000

Counterpart Contribution: Local (BEMFAM's) 648,196 (est.) CY 1993
IPPF 1,317,500 (est.) CY 1993
TOTAL 1,965,696 (est.) CY 1993

LOP Elapsed (Matching Grant): 100%

% of Total Authorization Obligated: 100%

% of Total Obligation Expended: 100%

% of Total Authorization Expended: 100%

II. PROJECT PURPOSE (Project Purpose Statement)

To increase the delivery and use of high quality family planning services, including and expanded choice of methods, and to improve sustainability.

14

III. PROJECT DESCRIPTION

A. OVERALL OBJECTIVES

1993 was the first year of the Transition Project, a five-year cooperative agreement between A.I.D. and IPPF/WHO, which is a follow-on project to the Matching Grant designed to expand and improve family planning services in Latin America and the Caribbean. A.I.D. will provide up to \$68 million over the life of the project to carry out this objective.

The Transition Project focuses on a select number of Latin American countries, including Brazil. In addition to expanding high quality services to low-income populations, the project also seeks to assist the affiliates in selected countries to develop the capability to become more self-reliant. The Transition Project was conceived in part because A.I.D. funding of population programs in selected countries will be phased out over the next five to seven years.

In Brazil, the Transition Project will support the Brazilian IPPF affiliate BEMFAM (Sociedade Civil do Bem-Estar Familiar) in its efforts to increase contraceptive prevalence in the Northeast of Brazil and among low-income, high-risk populations. In response to USAID/Brazil's new Family Planning Strategy, which plans for a phase out of A.I.D. assistance to Brazil by the year 2000, the Transition Project also emphasizes the development of a sustainability plan by BEMFAM, and the implementation of income-generating activities designed to facilitate sustainability. The Transition Project builds upon the achievements of the Matching Grant in modernizing BEMFAM's management so that decisions are made based on accurate and timely information. Computerized MIS systems are being implemented in the areas of accounting, budget, bank control, inventory and sales, personnel and payroll, fixed assets and clinic management.

B. SPECIFIC CY 1993 ACTIVITIES

In 1993, support is being provided to seven BEMFAM state programs, including 10 clinics, to stimulate the expansion of family planning services.

BEMFAM is responsible for devising in 1993 a sustainability plan for submission to IPPF and A.I.D. This plan will also take into account A.I.D.'s decision to concentrate its efforts on the states of Ceara and Bahia, and to phase out of assistance in other areas.

In 1992, the data for the 1991 DHS, which was collected in December, 1991, was collated and analyzed; the report was produced and published. In 1993, distribution of the report began and BEMFAM is developing a proposal for dissemination of the report among Brazilian policy makers, academics and the population community.

15

Development Associates began to design a project with BEMFAM that will strengthen BEMFAM's training capability in Bahia, to facilitate participation in the State family planning program.

C. OTHER ACCOMPLISHMENTS AND OVERALL STATUS

In 1992, BEMFAM delivered the following services in its 10 clinics:

Family Planning	102,931
Counselling	67,276
Gynecological Services	33,501
Cancer Screening	26,585
Prenatal	6,317
STD	3,698
Infertility	2,646

The larger part of BEMFAM's services are delivered through the public sector and private sector institutions with which BEMFAM has agreements. In 1992, BEMFAM had agreements with 1,208 municipal governments and supplied methods or services to a total of 2,800 health care centers. Through these convenios, the following family planning methods were supplied:

Condoms	15,637,844
OCs	2,971,904
VFTs	150,342
Foam	19,892
Spermicidal Jelly	21,940
IUDs	9,767
Diaphragm	1,127

In addition, over 2 million condoms were supplied to AIDS/STD prevention groups.

D. PROBLEMS AND DELAYS

In 1993, as in the past, BEMFAM had to cope with state and federal level inquiries into their activities, particularly the charge that BEMFAM has perpetrated "mass sterilizations" of Brazilian women. These enquiries are politically motivated, and often leave issues unresolved despite the presentation of data and well-prepared answers to refute such charges. Responding to these enquiries requires an inordinate amount of senior staff time and resources.

In addition, BEMFAM reached a number of conclusions about how to proceed with sustainability activities. They plan in 1993 to open two additional cytopathology labs in the Northeast, based upon the successful example of Ceara. A major interest is in the establishment of a for-profit company, who will begin income-generating activities. The first activity to be analyzed will be the importation and sale of condoms. A new staff member, the Sustainability Advisor, must be

hired to implement these new activities.

E. MAJOR ACTIVITIES DURING THE NEXT SIX MONTHS

IPPF/WHO and BEMFAM will submit to A.I.D. the sustainability plan and must outline activities that will contribute to replacing donor funds. BEMFAM will need to consolidate its activities in areas where A.I.D. does not intend to continue support.

A feasibility study will be undertaken to look at the importation and sale of condoms.

BEMFAM will begin work on a second report using the 1991 DHS data. This report will include collaboration with demographers from IBGE and CEDEPLAR; and will be targeted to the academic community.

BEMFAM will also begin, with OPTIONS assistance, to develop a dissemination plan for the DHS results, including public opinion leaders and government.

BEMFAM in Bahia, with assistance from Development Associates, will begin a program to train State of Bahia health professionals (nurse auxiliaries and health agents) as part of the new state-wide family planning program.

With Pathfinder support, BEMFAM will continue to emphasize expanding the range of methods provided to its clients. In particular, in the states of Rio Grande do Norte, Alagoas and Paraíba, Pathfinder will assist BEMFAM in IUD insertion training and services.

IV. PROJECT STATUS

A. Planned EOPS

1. Increased sustainability levels by augmenting local income to funding from 100% non-AID sources by 2000
2. Increased quality of services, including under-used methods
3. Integration of service delivery with local public sector networks, especially state reproductive health programs of Ceará and Bahia

Program to date

1. Increase 1987-91 of local income from \$ 30,000 to \$ 600,000. Establishment of income-generating services (Ceará cyto-pathology lab). Internal discussions and development of strategic plan focused on solutions to the sustainability question.
2. Training programs initiated for BEMFAM clinic doctors and public providers in IUD insertion.
3. Over 757 convenios (agreements) with municipal governments in Northeast states and in other parts of the country. BEMFAM has convenios with 90% to 100% of all municipalities in seven major Northeast states, covering 26% of the total number of municipalities nationwide. 37 new agreements were signed and 200 were renewed in the first half of FY 1993.

18

B. Major Outputs

Planned (FY 1993)	Outputs Accomplished
1. IE&C materials produced and disseminated	1. Successful production of over 24,000 counselling and informational brochures, 60,000 leaflets, 6,000 posters and 11 videos
2. In-service training	
a) workshops/courses	103
b) health professionals trained	100
c) health agents trained	707
3. FP services provided under MG program	
a) new clients	149,883
b) continuing clients	511,787
c) CYPs provided	98,233
d) central supervisory visits	7
e) field supervisory visits	8,954
f) school presentations held	275 (4,444 participants)
g) talks on family planning	1,334 (27,159 participants)

N/S = Not Specified

N/A = Not Applicable

**PROJECT STATUS REPORT
CY 1993**

1. BACKGROUND DATA

Project Title: *Family Planning Services: Pathfinder International*
 Project Number: 936-3062
 Coop. Agreement Number: DPE 3062-A-00-2025-00
 Date of Authorization: FY 92
 Date of Obligation: FY 92
 PACD: July, 1997
 Implementing Agencies: Pathfinder International
 Major Contractors: N/A
 AID Project Manager: Craig Carlson (R&D/POP)
 Status of CPs/Covenants: N/A

Date of Last Evaluation: _____ Next Evaluation: Qtr. 4, FY 94
 (Brazil FP Program-wide Evaluation)
 Date of Last Audit: FY 1992 (PF) Next Audit: FY 93

FINANCIAL DATA

Amount Authorized: \$ 136 million (LOP - Worldwide)
 \$ 0 million for Brazil (est.)
 Amount Obligated: \$ 0 million for Brazil (est.)
 Amount Committed: \$ 2.46 million for Brazil (est.)
 Period: FY 93
 Amount Programmed: \$ 550,000 (Subprojects only)
 Accrued Expenditures:
 Period: FY 1993 (Oct. 92 - Sep. 93)
 Projected: \$ 2.46 million for Brazil (est.)
 Actual: \$ 277,848 for Brazil (actual)
 Cummulative: \$ 277,848 for Brazil (actual)
 Next six months: \$ 2.2 million for Brazil (est.)
 Counterpart Contribution: N/A

LOP Elapsed (CAW/Brazil): 10% (six months)
 % of Total Authorization Obligated: N/A
 % of Total Obligation Expended: N/A
 % of Total Authorization Expended: N/A

II. PROJECT PURPOSE (Project Purpose Statement)

To support and expand quality family planning services in Brazil and make existing family planning service systems more sustainable in both public and private sectors.

20

III. PROJECT DESCRIPTION

A. OVERALL OBJECTIVE

A.I.D. has provided support to the Pathfinder Fund for activities in Brazil for over 10 years. Pathfinder's program in Brazil includes the following major activities:

- o Service provision in the Northeast of Brazil, primarily through BEMFAM and the public sector network;
- o Technical assistance provided to NGO grantees in the areas of clinical training, quality of care, logistics, service delivery management and adolescent programs;
- o Commodities support to grantees;
- o Institutional development to PVOs such as ABEPF;
- o Postpartum family planning programs in the Northeast.

Pathfinder's long-term strategy for Brazil emphasizes increasing access to high-quality family planning services and education; expansion of work with HMOs; improving the availability of family planning to women in the postpartum period; support for training; and young adults.

B. SPECIFIC FY 1993 ACTIVITIES

Pathfinder assisted USAID/Brazil in organizing a coordination meeting of the family planning CAs in Salvador in January. One of the items discussed at this meeting was the agreement negotiated by Pathfinder to provide assistance to the State Secretariat of Health in Bahia (SESAB) and the role of other CAs. As a result of this meeting, it appears that the Population Council, Evaluation, Options, and PCS may have contributions to make under the umbrella of the state project.

Pathfinder also travelled to Ceara in this period to assess their potential role within the Viva Mulher program. They have proposed, for when SES/Ceara is ready, a post-partum family planning program.

Pathfinder assumed distribution of commodities to the network served by CPAIMC, after CPAIMC closed, and has begun discussions with the PROFIT project about the establishment of a commercial distribution system.

Pathfinder continued assisting BEMFAM in three Northeastern states to expand the method mix

21

and implementing the post-partum family planning program in the Northeast, particularly Bahia.

Pathfinder has continued to support ABEPF at a modest level to sell or distribute existing stocks of materials and to publish the newsletter Planejamento Agora.

C. OTHER ACCOMPLISHMENTS AND OVERALL STATUS

Pathfinder handled very efficiently and with sensitivity the closing of CPAIMC and the issues surrounding the disposition of AID-funded commodities and property. They ensured that the recipients of commodities would not be left unserved and have participated with PROFIT to establish a long-term solution to the commodity distribution issue.

Pathfinder continues to successfully implement the post-partum/post-abortion family planning program, which has been implemented in various hospitals in the Northeast; the long-standing subprojects on commodities management and travel and training grants; and support to BEMFAM.

D. PROBLEMS AND DELAYS

In 1993, Pathfinder will need to develop its own phase-out plan. As a number of Pathfinder's traditional activities come to a close (ie, commodities grants; support for services through BEMFAM), and as the time for USAID support to Pathfinder in Brazil is limited to the next five years, it seems appropriate that Pathfinder should be engaged in an exercise to determine what they wish to accomplish over this final assistance period, and what their ultimate objectives are. This is planned for June, with the participation of Pathfinder/Boston staff.

E. MAJOR ACTIVITIES DURING THE NEXT SIX MONTHS

Pathfinder must continue to request from CPAIMC a final accounting of project funds and commodities. Pathfinder will need to consider the support it is extending to ABEPF; and evaluate the potential of ABEPF to operate as an association in the future.

Pathfinder will meet with PROFIT staff to finalize plans on the transfer of responsibility over the next 6-12 months for commodity provision, with the establishment of a commercial organization (CPO).

IV. PROJECT STATUS

A. Planned EOPS

1. Improved quality of family planning services, including an expanded range of methods.
2. Transition from donated commodities to a commercial system.
3. State-wide family planning program initiated in Bahia incorporating both public and private services, and able to operate successfully without ongoing donor assistance.

Program to date

1. Subprojects ongoing in post-partum IUD insertion and assistance to BEMFAM in 3 Northeast states for a wider range of methods in BEMFAM services.
2. Agreement reached with PROFIT regarding transition of responsibility for commodity provision. Temporary assumption by Pathfinder of sales to CPAIMC clients. Plans for developing a detailed plan of commodity donation phase-out.
3. Agreement signed with IMIC and training initiated for SESAB family planning program.

B. Major Outputs

Planned (CY 1993)	Outputs Accomplished (% of Target)	
1. CAW/BRA 071-1 BEMFAM (3 State Programs)		
Project ended on June, 1992		
2. CAW/BRA 071-2 BEMFAM (3 State Programs)		
a) 619 health professionals trained	201	(32%)
b) 93,503 CYPs provided	21,190	(23%)
c) hold 1,410 educational talks	374	(27%)
d)inform 49,700 people on those taks	18,314	(37%)
3. CAW/BRA 075-1 Post-Partum/Post-Abortion FP, especially IUDs		
a) 240 physicians trained	2	(0%)
b) 38,169 CYPs provided	14,490	(38%)
c) 9 maternity hospitals participate	12	(133%)
4. CAW/BRA 072-1 Commodities Management and Distribution		
a) 20 doctors trained	0	(0%)
b) 50 other health professionals trained	19	(38%)
c) T.A. supervisory visits	11	(N/A)
d) 94,732 CYPs distributed	99,389	(105%)
5. CAW/BRA TIN 024-1 BIG TIN (Travel and Training Grants)		
There were no subgrants in this period.		
6. CAW/BRA 063-2 ABEPF Institutional Support		
a) 33,333 IE&C materials produced	2,000	(6%)
b) Assist with staff support/transition	Yes	(N/A)

N/A = Not Applicable

N/S = Not Submitted

24

PROJECT STATUS REPORT

October 1, 1992 - March 31, 1993

I. BACKGROUND DATA

Project Title:	GCC/ World Wildlife Fund	
Program Number:	598-0784	
(I) Grant Number:	512-0784-G-00-0042-00	
Date of Authorization:	August 23, 1990	
Date of Obligation:	September 8, 1990	
PACD:	September 30, 1993	
Implementing Agencies:	Various Brazilian Institutions	
Major Grantee:	World Wildlife Fund	
AID Project Manager:	Angela Bernardes	
Status of CPs/Covenants:	N/A	
(II) Grant Number:	512-0784-G-00-1043-00	
Data of Authorization:	September 20, 1991	
Date of Obligation:	August 31, 1991	
PACD:	September 30, 1995	
Amendment n.1.	Signed September 22, 1992	
Amount obligated:	\$ 875,000	
Date of Obligation:	September 22, 1992	
Data of Last Evaluation:	N/A	Next Evaluation: 2nd qtr. FY 93
Date of Last Audit:	N/A	Next Audit:

FINANCIAL DATA

Grant n° 512-0784-G-00-0042-00

Amount Authorized:	\$ 425,000
Amount Obligated:	\$ 425,000
Amount Committed:	Period: 10/01/92 - 03/31/93
	Actual: \$ 39,752
	Cumulative: \$ 374,793
Accrued Expenditures	Period: 10/01/92 - 03/31/93
	Actual: \$ 45,192
	Cumulative: \$ 374,793

Period - Next : \$ 60,000

Counterpart Contribution: Planned: \$ 425,000
Actual: \$ 437,048

Grant n° 512-0784-G-00-1043-00

Amount Authorized: \$ 2,867,700
Amount Obligated: \$ 1,703,000 (\$ 828,000 + \$ 875,000)
Amount Committed: Period: 10/01/92 - 03/31/93
Cumulative: \$ 50,104

Accrued Expenditures Period: 10/01/92 - 03/31/93
Actual: \$ 98,754
Cumulative: \$ 641,075
Period - Next : \$ 100,000

Counterpart Contribution: Planned: \$ 2,150,770
Actual: \$ 428,704

% LOP Elapsed: N/A
% of Total Auth. Oblig.:
% of Total Oblig. Exp.
% of Total Auth. Exp.

II. PROJECT PURPOSE

To implement a comprehensive program of interrelated activities aimed at reducing deforestation in the Brazilian Amazon, through two principal approaches: First, by promoting sustainable land management systems and second, by analyzing and disseminating land management alternatives in a way that policy makers and other decision-makers may have the appropriate basic information to develop policies for sustainable land use.

26

Relationship to Mission Strategic Objectives

A. Linkage to strategic objectives:

This project contributes directly to achieve the strategic objective for the Global Climate Change Program: "Environmentally and socio-economically sustainable alternatives to deforestation adopted beyond target areas", by conducting activities which support the 4 Program Outcome: (1) Target policies to support environmentally sound land use adopted and/or implemented; (2) Systems for sustainable management of cleared areas identified, promoted, and adopted in target areas; (3) Systems for sustainable management of forest areas identified, promoted, and adopted in target areas; and (4) Systems disseminated beyond target areas.

III. PROJECT DESCRIPTION

1. ENVIRONMENTAL IMPACT ASSESSMENT. Based on the fact that the EIA process can be improved to become a powerful force against unnecessary deforestation in the Amazon region, three activities were proposed to accomplish the improvement:

- (a) Improvement of EIA criteria, to help the environmental agencies of the states of Acre and Para to define criteria for EIAs related to forest use and deforestation;
- (b) Training technicians, especially state officials who prepare or evaluate EIA reports, and to provide some funding to support the EIA evaluation division of the state agencies; and
- (c) Increase local participation, providing training to one or two NGOs in Acre and Pará.

2. NATURAL RESOURCE ECONOMICS. This component aims to incorporate environmental considerations in economic analysis and decision-making related to natural resources in the Amazon, by working to build the local capacity of researchers, and federal and state officials in this area; and by enhancing linkages among them and policy makers. These goals will be achieved through four activities:

- (a) Introductory Course on Applied Ecology and Natural Resources Economics, to the CIPMA members (group responsible for coordinating the policies and actions of all ministries and institutes of federal government) ;
- (b) Issue-oriented Workshops to Establish National Policies on Natural Resources Economics. The first two workshop topics include: national income accounting and natural resources; and valuation of non-market goods and services from natural ecosystems.
- (c) Training, through four types of training activities:
 - (i) bringing in a foreign expert for a short-term intensive course; (ii) send Brazilians to the US for short-term training; (iii) sending Brazilians to do graduate studies in the US; and (iv) sending leading Brazilian officials and researchers to the US for six-month to one-year post-doctoral studies.
- (d) International Workshop, to be held in 1944, with the participation of all the foreign experts and Brazilian researchers and officers involved in this component.

3. **INSTITUTIONAL STRENGTHENING**. The overall goal of this component is to support and strengthen the Amazonian conservation movement, through:

3.1 **Strengthening NGOs** - through WWF's Organizational Development Program (ODP), offering training workshops: Proposal Design, Financial Management and Human Resources Development. Strategic Management Workshop will also be offered. ODP staff may also provide technical assistance on specific organizational needs. Two types of grants are provided: (i) complementary grants support activities that enable organizations to increase their effectiveness and capability; and (ii) seed grants, made on a one-year basis and are designed to support community-based organizations that have emerged to address specific environmental problems.

3.2 **Institutional Support to Government Organizations**, focus on strategic planning and policy, involving three components: training, technical assistance, and grants. ODP will further assess the needs of SEMAM and IBAMA in order to outline a long-term strategy for the agencies.

4. **MANAGEMENT OF PROTECTED AREAS**

4.1 **Model Management of Conservation Units and their Buffer Zones**

The Fundação Vitória Amazônica seeks to bring environmental education, ecotourism, and the development of sustainable economic alternatives to rural residents in the buffer zone of the Jaú National Park. The main activities to be developed are: management plan; presentation of the management plan to IBAMA; expand the volume of ecologically appropriate tourism to the park and its adjacent area; assess the handcraft potential among local artisans in the region; development of agroforestry and extractive activities in the buffer zone; and increase public awareness of the value of the natural resources.

4.2 **Amapá Extractive Reserves** which will develop ecologically appropriate models of forest use for the region that can provide an alternative to converting the standing forest to pasture or shifting agriculture. The project is being developed with the National Council of Rubber Tappers (CNS) and Institute of Amazon Studies (IEA), to: (i) improve the ability of CNS to communicate with relatively isolated communities of extractivists; (ii) promote community organization and training so that reserve residents are aware of legal, social, and economic aspects of reserve consolidation; and (iii) conduct applied research on resource utilization and socioeconomic constraints to improving basic services and markets for forest products.

5. **COORDINATION ACTIVITIES**, are developed to maximize the impact of combined efforts in the region by reducing duplication of activities, building mutual awareness and communication among different projects, and promoting interactions and joint efforts among program components. Three types of coordinating activities will be developed:

(i) site visits and meetings; (ii) promoting interaction between grantees; and (iii) establishment of an electronic network to improve communications and interaction among all grantees.

6. **ENVIRONMENTAL EDUCATION**. This new component is designed for project executants of GCC projects in the Amazon which have an environmental education component or are in need of developing one. This project will seek to establish a network of environmental educators in the Amazon region for technical information exchange; train environmental educators in methods to develop and eventually evaluate their projects; establish evaluation components in GCC projects; determine and disseminate the effectiveness of environmental education projects; create impetus for additional systematically designed and executed environmental education in the Amazon; and increase the credibility of environmental education efforts in the Amazon.

IV. **PROJECT STATUS**

A. **PLANNED EOPS**

1. Sustainable land management systems (timber management, integrated forest resources management, protected area management) that provide an economically viable alternative to pasture and slash-and-burn agriculture, maintain forest cover, and decrease pressure for continued forest clearing.

2. On-the-ground integrated demonstration of social, economic, and environmental viability of these land uses. Dissemination of resulting information to local communities and researchers.

3. Decision makers informed about how to develop integrated policies that encourage sustainable land use in the region.

B. **MAJOR OUTPUTS**

1. **Environment Impact Assessment**

- a. EIA criteria
- b. Training technicians
- c. Training NGOs

2. **Natural Resources Economics**

- a. Introductory Course
- b. Issue-oriented Workshop
- c. Training
 - . Bring foreign expert

- . Short term training
 - . Graduate studies
 - . Pos-doctor
 - . Follow up
- d. International Workshop

3. Institutional Strengthening

- a. Training (5 days workshop)
- b. Workshop (strategic planning)
- c. Follow up

4. Management of Protected Areas

4.1 Jau National Park

- a. Elaboration of the management plan
- b. Discussions with IBAMA
- c. Schedule of activities
- d. Ecotourism activities proposal
- e. Handcraft potential survey
- f. Resource management development
- g. Environmental education development

4.2 Amapá Extractive Reserves

- a. Technical assistance
- b. Survey of natural resources
- c. Level of exploitation definition
- d. Marketing and processing studies completed
- e. Definition of the sustainable use
of one or more product
- f. Training

5. Coordination Activities

- a. Site visits and meetings
- b. Interaction between grantees
- c. Electronic network

6. Environmental Education

- a. 10-day workshop
- b. 5-day follow-up meeting

c. OTHER ACCOMPLISHMENT AND OVERALL STATUS

36

1. ENVIRONMENTAL IMPACT ASSESSMENT

WWF participated in a number of meetings with the ELI, EPA and the USFS. As a result, a joint strategy was established, with WWF being assigned the following responsibilities: (a) Establishment and improvement of EIA procedures through policy dialogue involving state agencies, interest groups, and industries; (b) Streamlining the EIA review process by state agencies; (c) Training to increase effectiveness of NGOs in EIA process; and (d) Identifying opportunities for interface between NGOs and government prosecutors.

The last three activities will be developed jointly with ELI.

WWF discussed with Nelson Ribeiro (head of the environmental agency of Pará state) to determine the best strategy to support his agency in the improvement of the EIA process. Mr. Ribeiro is interested in opening sub-regional offices in the states on a pilot basis. These offices would include staff from other department such as the extension service. WWF and Mr. Ribeiro discussed the possibility of supporting a state-level workshop to define the feasibility of his proposal. Mr. Ribeiro was scheduled to meet with the President of IBAMA to define the necessary support from the federal agency for the event. However, the changes in the federal government forced Mr. Ribeiro to cancel the meeting, and consequently, WWF to postpone preparations for the event until a new team is in place at IBAMA.

WWF collaborated with ELI in the preparation of the workshop: "Mechanisms to implement Environmental Law: Environmental Impact Assessment and Enforcement", held in Belém, in 21-24 September.

The workshop was designed to train state agency officials on the basic legal and technical aspects of reviewe impact assessmemt, and was attended by 24 participants from Amazon states.

2. NATURAL RESOURCES ECONOMICS

SEMAM (National Environmental Secretariat) and the Economy Ministry have jointly created a task force responsible for designing an alternative system for national income accounting which uses the environmental economics approach. This project intends to define the best strategy and methodology to complete the environmental account for an entire region.

An environmental economics pilot project is being developed for the valuation of a watershed in the state of Acre. The project is being executed by the task force led by SEMAM , and supported by WWF/USAID; UNDP and the Brazilian federal government.

This component has been the most adversely affected during the still ongoing major changes in the federal environmental agencies of the Brazilian government. During the past three months Garo Batmanian and José Carlos Libanio (WWF-Brazil office) held several meetings with Helen Negret and other UNDP officials regarding the possible continuation of the project.

The work of all consultants for the pilot project is about 90% completed. However, the consultants have suspended their work until they receive more guidance from SEMAM.

Final reports can be completed in few weeks, when the project restarts.

WWF staff met with Congressman Fábio Feldman , and intend to explore the possibility of supporting a workshop on natural resources economics, conceived by Mr. Feldman, for policy-makers at the state and federal level.

3. INSTITUTIONAL STRENGTHENING

3.1 Strengthening NGOs

INEA - A Strategic Planning Workshop was conducted with the Institute of Ethnobiology of the Amazon (INEA), February 6-11, 1992, and attended by 13 INEA members. The objectives of the Strategic Management Workshop, as set by INEA, were to clarify their vision and strategic directions, identify obstacles and strengths, and develop a plan of action to achieve their organizational goals. WWF conducted a Strategic Plan- Phase II Workshop with INEA during July 14-16.

PESACRE - A Strategic Planning Workshop was conducted with PESACRE, in Rio Branco during February 14-19, 1992. The participants included staff members, board members, and project coordination. A follow-up work Strategic Planing - Phase II Workshop was conducted with PESACRE during June 24-27, when its members reviewed the "Director Plan" document that was a result of the original Strategic Planning Workshop.

FVA - A Strategic Planning Phase I Workshop was conducted with Fundação Vitória Amazônica (FVA) in August. FVA was awarded with an institutional strengthening grant for \$15,000 in order to continue a previously awarded grant which provides urgently needed operational funding.

SOS AMAZÔNIA - A Strategic Planning Workshop was conduct with SOS Amazônia in May 15-17. The participants included staff members, board members, and project coordinators, totalling 11 people. The Strategic Planning - Phase II Workshop was conducted during August 18-20.

The "Guide to Design Effective Proposals" and the corresponding training workbook has been revised and adapted to Portuguese, and is going to the final review process before publication.

The "Guide to Financial Resource Development" going through the final stages in English and will be translated into Portuguese in September/October.

WWF staff met with representatives from Conselho Nacional dos Seringueiros - CNS in Rio Branco, Acre to discuss future organizational development activities.

3.2 Institutional Support to Government Organizations

A date and organizational details will be set by WWF and IBAMA in order to conduct the "Proposal Design Workshop" for IBAMA staff.

For state-level environmental organizations, WWF has designated the Para State

Agency as a priority organization within the Brazilian Amazon strategy, and intends to conduct workshops which will strength the Agency.

4. MANAGEMENT OF PROTECTED AREAS

4.1 Model Management of Conservation Units and Their Buffer Zones

In January, John Butler went over final project details with Carlos Miller (FVA Coordinator) in Washington. John Butler also met with Leonardo Lacerda (FVA Projects Coordinator), Andrew Murchie (FVA Informational System Coordinator) and IBAMA staff to complete preparations for FVA expedition to Jaú National Park.

During the fourth week of April, FVA mounted its first expedition to Jaú with a multidisciplinary team that consisted of 11 members with specialization in biology, primatology, ecology, zoology, land tenure, entomology, forestry, wetlands management, and planning. The team included representatives from the following institutions: IBAMA, Amazonas State Environmental Agency, INPA, USAID, GTZ, and FVA. A preliminary action plan for work in the Park was developed during the trip. This action plan define activities to be developed for one-year period within the National Park boundaries, and in its buffer zone.

The Action Plan was already sent to IBAMA for its analysis.

4.2 Amapá Extractive Reserves

The CNPT (National Center for Traditional Populations) was created by IBAMA to work with non-Indian extractivist populations living in the Amazon, particularly those in the extractive reserves.

A meeting was held in Amapá in the CNS (Rubber Tapper National Council) office and the IEA (Institute for Amazon Studies) office that included representatives from WWF, CNPT/SEMAM/IBAMA, Konrad Adenauer Foundation, GENESYS, the Denmark Labor Forum (AIF). The focus of the meeting was to discuss coordination of efforts in the region.

Following the meeting the group traveled to the extractive reserves. Another meeting was held in Macapá, where the agency's representatives met to discuss logistic for supporting the proposed nut factory in the community of Santa Clara (Cajari). CNS-Amapá will put together a comprehensive plan for the factory.

Specifically WWF-supported activities included:

- Regularly monthly community meetings inside each extractive reserve are held for planning and project discussion.

- The completion of the registration (Cadastro) of reserve residents which will take place within the coming months. The majority of reserve residents who came together last year to form the extractive reserve community association were registered at that time but some remote communities have not still been registered.

- The community associations identified basic buying an selling co-ops as a primary need. A small network of "cantinas" are now being established at key points within each

reserve. The site of the "cantinas" were selected in part with the aid of WWF-supported socio-economic register (cadastral) of reserve residents. Two of the cantinas are currently functioning in facilities donated by the community.

The communities with the cantinas will also be involved in the processing and marketing of Brazil nuts.

A consultant hired by CNPT/IBAMA worked with extractive reserves communities to develop a plan for a network of small processing centers.

WWF promoted the exchange between the Alto Juruá Reserve and Amapá Reserves to discuss cadastral questionnaires as a means to collect resource-use information and the development of use plans for the reserve. Use plans of how local reserves residents propose to manage resources are required by IBAMA for each reserve. WWF has also promoted a number of training courses to improve reserve resident's ability to manage local resources.

D. PROBLEMS AND DELAYS

. The still ongoing changes in the environmental agencies at federal level is greatly contributing to delay activities related to the components: Environmental Impact Assessment; Natural Resources Economics; Institutional Support to Government Organization, and Management of Conservation Units and their Buffer Zone.

E. MAJOR ACTIVITIES OR CORRECTIVE ACTIONS DURING THE NEXT SIX MONTHS

1. Environment Impact Assessment:

Major activities: To maintain contact with the government of the state of Para, in order to support EIA initiatives in the state.

Corrective actions: To contact the new Governor of Acre state in order to discuss the issue related to the EIA criteria already established for the state, and the existing possibilities to have these criteria implemented. The new state Secretary for Environment visited Brasília and stated the new government's interest in discuss the issue.

2. Natural Resources Economics.

Corrective actions: To contact the new federal agency for environment, and establish strategies to deals with the problem if other changes occur.

3. Institutional Strengthening

3.1 NGOs strengthening

34

Major activities: Coordination with PESACRE for conduction of Phase II of the strategic planning process.

Coordination with Fundação Vitória Amazônica for a follow-up activity to their previous strategic planning workshop.

3.2 Institutional Support to Government Organization

Major activities: Conduct IBAMA Proposal Design Workshop with state organizations in the Amazon region.

To contact the new Ministry for Environment and IBAMA's President, to explain the projects which are being developed and planned to be implemented in these agencies, at the same time that possible problems and delays should be solved.

Corrective actions: After the contact with the new federal agency staff, to follow-up the activities maintaining contacts with the IBAMA's technical staff.

4. Management of Protected Area

4.1 Jaú National Park

Major activities: Field trip with John Butler (WWF), Carlos Miller (FVA) and Howard Clark, AID Regional Environmental Advisor to carry on the necessary environment impact analyses. A socio-economic questionnaire on natural resources used by park residents will be tested.

Define among the activities stated in the Preliminary Action Plan, which ones can be developed by WWF/FVA initiative.

Corrective actions: Contact with IBAMA in order to clarify the issue related to the National Park Management Plan/PNMA, and to require the necessary permit to carry on activities within the area.

5. Coordination Activities

Major activities: Garo Batmanian will meet AID/Brasilia staff to better clarify which activities are involved in this component.

PROJECT STATUS REPORT

October 1, 1992 - March 31, 1993

I. BACKGROUND DATA

Project Title: GCC: University of Florida
 Program Number: 598-0784
 Grant Number: 512-0784-G-00-0040-00
 Date of Authorization: August 23, 1990
 Date of Obligation: August 31, 1990
 PACD: September 30, 1993
 Implementing Agencies: PESACRE
 Major Grantee: University of Florida
 AID Project Managers: Angela Bernardes
 Status of CPs/Covenant: N/A

Date of Last Evaluation: February 1993
 Next Evaluation: 2nd qrt FY94
 Date of Last Audit: N/A Next Audit:

FINANCIAL DATA

Amount Authorized:	\$ 1,263,640
Amount Obligated:	\$ 1,263,640
Amount Committed:	Period: 08/31/1990-03/31/92
	Cumulative:
Accrued Expenditures	Period : 09/01/92 - 02/28/93
	Actual: \$ 144,147
	Cumulative: \$ 612,105
	Period - Next: \$ 140,000
Counterpart	
Contribution:	Planned: \$ 1,418,784
	Actual: \$ 851,657

% LOP Elapsed: N/A
 % of Total Auth. Oblig.:
 % of Total Oblig. Exp.
 \$ of Total Auth. Exp.

32

II. PROJECT PURPOSE

This project seeks to develop and implement alternatives for diversifying sustainable use practices in the forest and small scale agroforestry practices by forest populations in order to contribute to higher levels of income for indians, rubber tappers and settlers willing to use sustainable agro-forestry use systems.

Relationship to Mission Strategic Objectives

A. Linkage to strategic objectives:

This project contributes directly to achieve the strategic objective for the Global Climate Change Program: "Environmentally and socio-economically sustainable alternatives to deforestation adopted beyond target areas", by conducting activities which support the 4 Program Outcome: (1) Target policies to support environmentally sound land use adopted and/or implemented; (2) Systems for sustainable management of cleared areas identified, promoted, and adopted in target areas; (3) Systems for sustainable management of forest areas identified, promoted, and adopted in target areas; and (4) Systems disseminated beyond target areas.

III. PROJECT DESCRIPTION

A. Forest Resource Management

This sub-project has as its main objectives:

(a) Characterize the structure and composition of the ecosystems of various areas of the state in order to identify species with potential for use in agriculture and agroforestry systems;

(b) to promote collection, identification, evaluation and preservation of genetic resources of species with economic potential;

(c) experiment with economic uses of plants that have the potential to contribute to the diversification of agroforestry and extractive systems;

(d) train personnel who can develop a critical consciousness with regard to environmental, social and economic issues of the region.

These objectives will be reached throughout the following activities:

1. Collection, Conservation and Study of Native Fruit Trees
2. Forestry Extension Course
3. Forest Enrichment Planting of Native Rubber Trees
4. Palms of Acre: Floristic and Economic Potential
5. Environment Planning Course
6. Image Analysis of Plant Communities in Humaitá Area

B. Integrated Agroforestry Systems

The objectives to be reached are to:

- (a) identify new and existing agroforestry practices and evaluate the sustainability of agroforestry systems;
- (b) indicate agroforestry practices capable of improving production systems through the use of fallow fields; and
- (c) train producers in techniques for managing available natural resources.

Activities:

1. Characterization and Monitoring of Agroforestry Systems and Practices in Acre
2. Training and Establishment of Agroforestry Systems
3. Apiculture Course
4. Agroforestry Systems for Control of Burning and Recuperation of Degraded Areas
5. Participatory Research in Agroforestry Systems in the Chico Mendes Extractive Reserve
6. Evaluation of Agroforestry Systems for Small Producers in Acre

C. Technical Assistance and Rural Extension

The objective of this sub-project is to provide technical assistance, training and social promotion to the rural communities where PESACRE is carrying out research. Activities:

1. Provide technical assistance, training and social promotion to the rural communities where PESACRE is carrying out research.

IV. PROJECT STATUS

A. Planned EOPS

1. Land use alternatives in place for conservation of humid tropical forests in the Brazilian Amazon through: (a) ecologically appropriate use of intact forests, and (b) rehabilitation and use of already cleared lands for economically sustainable livelihood of local populations.
2. Government policies (federal and state) that contribute to adoption of a more sustainable and environmentally sound economic development model in forested areas.
3. Effective participation of local institutions and individuals in the Amazon in the democratic initiatives for change through links forged among researchers, information disseminators, forest dwellers, community leaders, and government officials and through increased overall environmental awareness

B. MAJOR OUTPUTS

- .Consolidation of capacity of the PESACRE group to carry out research and extension

projects, to coordinate inter-institutional activities, and to continue as a forum for dissemination of research results and policy debates.

. Local researchers and extensionists trained and with experience in develop research in an integrated, interdisciplinary approach to work with small producers, including women.

. Generation of research results for sustainable resources management, tested and implemented by collaborating forest families in Acre.

C. OTHER ACCOMPLISHMENT AND OVERALL STATUS

1. General

The new University of Florida/PESACRE Field Coordinator, Jonathan Dain arrived in Rio Branco on February to begin working with PESACRE.

A special assembly was called to elect new members to the Deliberative Council.

Three PESACRE members attended the GENESYS training program in Marketing of Non-Timber Forest Products held in Belém at the end of March. PESACRE was the recipient of funding for two projects from GENESYS Brazil: (i) seringal Triunfo sondeo (rapid reconnaissance survey) and formal research survey to obtain data for project design and guidance, and questionnaire applied to all Triunfo families in respond to a request of the CNS for more quantifiable data to be used in efforts to designate Triunfo as an extractive reserve; and (ii) RECA cupuaçu marketing study.

Responding to a special request, PESACRE held a 2 1/2 day workshop in strategic planning for the staff of UNI (Union of Indigenous Nations).

A introduction and planning meeting was held with representatives of FETACRE.

PESACRE hosted a visit by University of Florida Karen Kainer who is developing a research project on Brazil nut regeneration and potential in agroforestry systems. PESACRE is sponsoring the research and will provide interns.

Two PESACRE representatives and Connie Campbell attended the Global Climate Change Coordination Meeting, held in Brasilia in January.

PESACRE was able to purchase a four wheel drive vehicle through funding from PMACI.

In February PESACRE was the focus of a USAID evaluation. The evaluation team was formed by Angela Bernardes (USAID), Mark Renzi (Management Systems International) and Constance Campbell (university of Florida). The evaluation team worked with the PESACRE Executive Coordination group, and visited two worksites and NGOs which develop activities with PESACRE. The evaluation team recommended the approval for a two-year no cost extension, requested by the University of Florida.

2. Research and Extension Activities

(i) Agroforestry Systems for the Control of Burning and Recuperation of

Degraded Areas - Project participants planted their second year of annual crops. The team also incorporated two nearby areas into the project's activities. In three of the five areas a diagnostic questionnaire was also used to investigate the impact of a beetle that has been causing serious damage to rice plantation in other areas in Acre. The team continues to seek ways of institutionally extending the project by linking up with other agencies.

(ii) Evaluation of Agroforestry Systems for Small Producers in Acre - Technical activities included extension visits to agroforestry planting sites, seedling production, pruning black pepper seedlings and accompanying the installation of two agroforestry systems. Fifty community members were interviewed and results of the evaluation indicate that the community is participating in and reacting positively to the project.

This project has now completed implementation of its annual and perennial species. The team noted that there was a misperception of PESACRE's resources and philosophy, which created a false expectation on the producer's part.

(iii) Participatory Research in Agroforestry Systems in the Chico Mendes Extractive Reserve - The project team met with the participating producers to define their options related to commercial vs. subsistence agroforestry systems, established a time-table for activities by the "para-foresters" (community members trained as field assistants), and began an experiment with semi-perennial species.

(iv) Palms of Acre: Floristic and Economic Potential - The project has now completed the final mounting of the botanical material collected in seven areas within the Chico Mendes Extractive Reserve. The opening and demarcation of the final transect to be studied is also now completed. The project was greatly facilitated by the cooperation and support of the Conselho Nacional dos Seringueiros who have ensured community support, but the project staff recorded their concern about the precarious economic situation in which the seringueiros presently find themselves. Such conditions do not help facilitate project development.

(v) Collection, Conservation and Study of Native Fruit Species - The project passed through difficult phase due to primary to technical and methodological problems. In December the team learned that two species that they had hoped to use would have to be switched due to difficulties in obtaining seedlings, putting the project behind in its scheduled planting of 16 species before April. Furthermore, extension visits to producer farmers turned up extremely high mortality rates among some species (up to 100%) and varietal problems among others. There was the apparent success of an experimental plot of mucuna. The vehicle obtained by PESACRE greatly facilitated transportation and site visits enabling team to carry out the necessary farm visits, which indicated continued progress with mucuna and excellent growth rates in some of the fruit species. The project team has been working with PESACRE's socio-economic team to define mechanisms to accompany and evaluate this project.

(vi) Medical Plants of the RECA community - The project team made the visits to RECA community and collected 142 medicinal plant species from 54 botanical families. The project team is now cataloging the collection, and hopes to soon commence developing a medicinal plant garden community.

(vii) Characterization and Monitoring of Agroforestry Systems and Practices in

4/2

Acre - The project is underway with six producer families who were selected to represent different producer types and bio-physical and social conditions.

(viii) Development of New Beekeeping Materials for the Amazon - This project has been completed and the results are being disseminated via folder produced by PESACRE.

(ix) Certificate Course in Environmental Issues and Planning - The course, co-organized by UFAC, IMAC and PESACRE, held in February, was attended by 27 people.

(x) Agroecological Analysis of Humaitá and Surrounding Areas via TM/LANDSAT-5 Imaging - The project continues progressing as planned. The team has collected over 1000 plant samples representing 200 plant species.

(xi) Marketing Study of Cupuaçu in Rio Branco and Porto Velho - In response to the large quantity of cupuaçu soon to be produced by projeto RECA, PESACRE formed a marketing research team to investigate the marketing potential of this fruit in the two major urban centers near the RECA project, Rio Branco and Porto Velho. The research team, made up of two PESACRE interns and a PESACRE economist, received technical advisement and assistance from the GENESYS project which financed a consultancy by David McGrath. The result of the project will be a simple marketing plan for the producers of the RECA project.

(xii) Faunistic Analysis of Insects in Agroforestry Systems Collected Using Light Traps - Insects were collected every 15 days from 200 rice and corn plants. Initial results indicated no significant problem with corn, recommending only that greater attention be paid to storage problems. Rice pests however did appear to present a problem. In May, the project will begin to examine insect problems on perennial species.

D. PROBLEMS AND DELAYS

PESACRE lacks a coherent vision of how its portfolio of activities sum to an coordinated system of innovative research and extension in agroforestry systems.

There is the need to improve coordination and communication among PESACRE, University of Florida and USAID/Brazil.

PESACRE is currently managed by dedicated technically-trained individuals who lack some of the administrative skills to efficiently meet the difficult challenge of managing a new and innovative NGO.

E. MAJOR ACTIVITIES OR CORRECTIVE ACTIONS DURING THE NEXT SIX MONTHS

PESACRE and UF are in the process of developing a proposal to extend PESACRE funding. The proposal, which will also respond to suggestion made by the USAID evaluation team, will be completed this Spring in conjunction with the University of Florida Program Manager.

2/1

PROJECT STATUS REPORT

October 1, 1992 - March 31, 1993

I. BACKGROUND DATA

Project Title: GCC: Environmental Law Institute
 Program Number: 598-0784
 Grant Number: 512-0784-G-00-1046-00
 Date of Authorization: September 21, 1992
 Date of Obligation: September 21, 1992
 PACD: December 31, 1993
 Implementing Agencies: Various Brazilian Institutions
 Major Grantee: Environmental Law Institute
 AID Project Managers: Angela Bernardes
 Status of CPs/Covenants: N/A

Data of Last Evaluation: N/A
 Date of Last Audit: N/A

Next Evaluation: 1st qrt FY 94
 Next Audit:

FINANCIAL DATA

Amount Authorized: \$ 356,276
 Amount Obligated: \$ 356,276
 Amount Committed:

Period:
 Cumulative:

Accrued Expenditure

Period: 10/01/92 - 03/30/93
 Actual: \$ 64,636

42

1. Extractive Reserves.

GCC activities in support of the establishment of extractive reserves are currently being conducted by WWF and UF in Amapa and Acre in collaboration with local groups such as the Conselho Nacional dos Seringueiros (CNS) and Instituto de Estudos Amazônicos (IEA). ELI will work in concert with these groups to identify and analyze legal and policy issues, and provide options and recommendation to promote the establishment and effective implementation of the extractive reserves under Brazilian national, state and local and other indigenous laws. ELI's team of Brazilian and US environmental attorneys will provide this assistance through a year-long program of consultation, information exchange, and research and analysis.

2. Environmental Impact Assessment Activities

Based on the discussion during the Environmental Impact Assessment segment of the coordination meeting, ELI will provide assistance in three specific ways: (i) coordinating the EIA activities of the GCC program; (ii) developing and presenting EIA training courses, seminars or briefings; and (iii) providing technical assistance in the development of specific guidelines.

3. Training course in Brazil

ELI will support the courses provided by WWF for NGO officials from Acre and Para. The objective of these courses is to provide these local officials with the legal education and tools necessary to enhance government implementation of the environmental assessment process. ELI proposes to provide the legal and technical support necessary to the effective preparation and presentation of these training programs, including legal research and analysis, course material preparation and delivery, and follow-up analysis. ELI's team will also provide insights garnered from practical experience of its members in drafting and implementation of related laws and policies, working with communities to develop legal and policy training courses, and the delivery of training courses.

Providing general support for on-going GCC activities.

ELI in coordination with WWF and UF is identifying additional legal and policy issues associated with ongoing GCC activities. During the project period, ELI is working cooperatively with the existing project teams to begin developing appropriate legal and policy

44

options and strategies to address these issues.

IV. PROJECT STATUS

A. Planned EOPS

1. Options and recommendations for the institutionalization (establishment and implementation) of extractive reserves.
2. EIA process more effective in Acre and Pará states, with NGO officials trained.
3. Appropriated legal and policy options and strategies to address the identified issues associated with GCC activities.

B. MAJOR OUTPUTS

- Legal framework related to Extractive Reserves solidified.
- Workshop and Training Program related to environmental assessment.
- Legal and police issues associated with ongoing GCC activities.

C. OTHER ACCOMPLISHMENT AND OVERALL STATUS

1. SOLIDIFYING THE LEGAL FRAMEWORK FOR INSTITUTIONALIZATION OF EXTRACTIVE RESERVES

. In this quarter the ELI team visited institutions related to extractive reserve issues.

Brasília

a. Nucleus of Indigenous Rights, where ELI team was up date about indian subjects.

b. ELI team also met the IBAMA Deputy General Counsel, who provided information about the legal status of the extractive reserves around the country.

Amapá

a. Visit to Cajari Extractive Reserve and Extractive Settlement of Maraca I in Amapá.

b. Visit to the National Institute of Colonization and Land Reform (INCRA) office in Amapá to discuss the situation of the Extractive Settlement of Maracá.

c. Meeting with CNPT's (National Council for Native population) coordinator in Amapá.

d. Meeting with General Secretary of the National Rubber Tapper General Council (CNS) and CNS Regional Coordinator in Amapá.

e. Meeting with the President of CNS.

Rondônia

In Rondônia the ELI team focused on the progress of the implementation of

45

the Rio Cajari Extractive Reserve and the zoning efforts that have been made by the state government. ELI team met with several federal and state agencies and NGO representatives.

a. Meeting at CNPT office, attended by IBAMA's Superintendent in Rondônia, IBAMA's officers and a representative of the Institute of Amazon and Environmental Studies (IEA)

b. Meeting with the Director of Rondônia's Secretariat of Environmental Development (SEDAM), the state agency in charge of environmental protection in Rondônia. The same meeting was attended by technical staff from the Secretariat of PLANAFLORO, which is in charge of zoning. While SEDAM is involved in implementing the zoning plan, another agency, INTERON (land institute), assists in developing the zoning plan.

c. Meeting with INCRA's engineer employed by INCRA and appointed by the state of Rondônia to be responsible for the 1986-1988 zoning project.

d. Meeting with Secretary of PLANAFLORO.

2.2 Mechanisms for Generating Income from Genetic Resources Located in the Extractive Reserves

Resources

The ELI team is continuing its research on options within the existing framework of intellectual property and contract law for securing economic benefits from genetic resources for local communities.

Through a survey of current periodical literature, reports and telephone interviews, the team has compiled preliminary data on a number of direct and indirect mechanisms used in countries throughout the world benefit from these resources. This information is now being analyzed to evaluate the success of and categorize these mechanisms to identify those mechanisms and case studies of particular relevance for the communities living in the Extractive Reserves

During the trip, ELI staff spent a total of two days in Brasilia and Rio de Janeiro conducting research on the existing laws on intellectual property rights (IPR) in Brazil. Mr. Ninio also made an extensive survey of the bills on IPR issues that are being debated at the Brazilian Congress, including the Indian Statute bills.

2. ASSISTANCE IN DEVELOPING AND DELIVERING ENVIRONMENTAL TRAINING COURSES

2.1 Visiting Scholar

Luis Carlos Ros Filho sponsored by SUNY and hosted by ELI, started a paper on "economic instruments for pollution control in developing countries".

4/6

D. PROBLEMS AND DELAYS

None

E. MAJOR ACTIVITIES OR CORRECTIVE ACTIONS DURING THE NEXT SIX MONTHS

ELI, the EPA, the US Forest Service, and the WWF, continued to develop an intensive "train the trainers" program on environmental impact assessment for 8-12 Brazilians. The group will trained on the process of reviewing environmental impact assessment and on how to train other Brazilians in the process.

PROJECT STATUS REPORT

October 1, 1992 - March 31, 1993

I. BACKGROUND DATA

Project Title: **GCC: Gender Issues Related to Preservation and Sustainability of Natural Res. in Brazil**

Program Number: 598-0784

Buy-in Number: PDC-0100-222-00-9044-00

Date of Obligation: June 28, 1991

PACD: September 30, 1994

Implementing Agencies: Various Brazilian institutions

Major Grantee: **PPC WID/GENESYS (The Futures Group)**

AID Project Manager: Eric Stoner

Status of Cps/Covenants: N/A

Date of Last Evaluation: N/A Next Evaluation: 2nd qtr. FY93

Date of Last Audit: N/A Next Audit:

47

FINANCIAL DATA

Amount Authorized:	\$297,877 (GCC) + \$446,814 (WID)		
Amount Obligated:	\$744,691		
Amount Committed:	Period:	FY91	
	Cumulative:	\$744,691	
Accrued Expenditures:	Period - Projected:	\$42,788/month (FY93)	
	Period - Actual:	\$42,788/month (FY93)	
	Cumulative:	\$508,191	
	Period - Next:	N/A	(FY93)
Counterpart			
Contribution:	Planned:	N/A	
	Actual:	N/A	
% of LOP Elapsed (as of March 31, 1993):			
% of Total Auth. Oblig.:		100%	
% of Total Oblig. Exp.:		68%	
% of Total Auth. Exp.:		68%	

II. PROJECT PURPOSE

Enhance socio-economic sustainability of sub-projects activities by:

- 1) Improving the integration and application of gender and socio-economic considerations into sub-projects; and
- 2) Strengthening Amazonian institutional capacities.

Relationship to Mission Strategic Objectives**A. Linkage to strategic objectives:**

This project contributes directly to the AID/Brazil strategic objective, "Environmentally and socioeconomically sustainable alternatives to deforestation adopted beyond target areas", by conducting activities which support 2 program outcomes:

- 1) Targeted policies to support environmentally sound land use adopted and/or implemented;
- and 2) Systems disseminated beyond target areas.

III. PROJECT DESCRIPTION

A. **Research design and implementation:** Technical assistance in research design will be provided in two forms. First, workshops will be designed focusing on research methods, including questionnaire design and testing, interview methods, data collection, and data base setup. Workshops will provide a basis for including a strong socioeconomic component to work being conducted by various NGO's in the Brazilian Amazon under the GCC Program, and will assure that skills in incorporating gender differences in the collection and analysis of

48

data are strengthened. It is expected that the workshops will result in a gender difference "minimum data set" which can be used by all participating NGO's and which will contribute to the evaluation component of the GCC Program.

A second type of research design and technical assistance will be provided through the hiring of social science researchers for key project sites in the Amazon. These social scientists will work with NGO groups to incorporate gender considerations into any field studies and provide continuity in attention to gender issues in the collection and analysis of data.

B. Special studies: Market studies will be conducted on production-level economics using cupuaçu as a "sentinel" crop. Studies will also be conducted of employment generation potential of alternative forest management strategies and alternative uses of forest products. These assessments will include an analysis of employment opportunities for both men and women in activities such as harvesting and processing of extractive products for domestic and export markets and forest management. Special attention will focus on the comparative advantage of various levels of labor input in the process of developing product opportunity profiles.

IV. PROJECT STATUS

A. Planned EOPS

1.1 Gender institutionalized within NGOs, i.e. gender and socioeconomic issues incorporated in NGO planning, data collection and reporting.

1.2 NTFPs are marketed.

1.3 Income alternatives are developed.

1.4 Proportion of pilot project's household income from sustainable vs. non-sustainable sources increased.

2.1 NGO staff have improved administrative, management, and research skills and experience.

2.2 NGOs plan and manage projects that are gender sensitive.

B. Major Outputs

1.1 Up to four workshops successfully conducted.

1.2 Development of socio-economic action plans for five NGOs.

1.3 Gender considerations integrated into five NGO social research, project design, and evaluation activities.

2.1 NGO local specialists and staff trained in gender analysis and socio-economic research methods.

2.2 Up to 175 days of short-term TA delivered to NGOs.

2.3 At least five socio-economic research proposals prepared and submitted to GENESYS.

2.4 At least five socio-economic NGO baseline surveys completed.

2.5 At least three NGO targeted and applied special studies completed.

3.1 Gender disaggregated socio-economic research results informs the NGO project and planning cycle.

4.1 Improved NGO staff capabilities to produce: needs assessments, action plans, research designs, research reports, other reports.

5.1 Guidelines and results from the GENESYS NTFP special study disseminated to NGOs.

5.2 One workshop conducted on marketing issues based on the special study.

5.3 NTFP marketing assessment research model developed.

6.1 NGOs develop indicators for pilot project putputs.

C. Other Accomplishments and Overall Status

During this period, the GENESYS team: 1) completed planning and preparations for the fourth GENESYS workshop on marketing NTFPs; 2) worked closely with the three local gender specialists at three NGOs; 3) worked with FVA and PESACRE to select new gender specialists; 4) provided TA to one NGO (PESACRE); 5) reviewed and approved one NGO research proposal; 6) continued seeking appropriate consultants for TA assignments; and 7) began analysis of GENESYS marketing research data, and prepared a preliminary set of recommendations for Araras. In January 1993, Lisansky and Anderson attended the USAID/Brazil GCC Coordination Meeting, preparing a session on marketing non-timber forest products. A logical framework for project activities was further refined at this meeting.

Jon Dain (UF/PESACRE) and David (Toby) McGrath (IMAZON/UFPa) were selected as lead trainers for the fourth GENESYS workshop on marketing assessments, held March 28 - April 3, 1993. IMAZON acted as co-host to the workshop. Judith Lisansky, Lee Martinez and Darrel Miller prepared a training manual for the workshop and for broader dissemination. Pennie MaGee was contracted to write a case study for the workshop and to translate the training manual. A workshop planning meeting was held in Washington, D.C. January 7, 1993.

GENESYS worked closely with five GCC NGOs, in most cases communicating on progress of specific research activities with the local GENESYS gender/social science specialists and other NGO staff. GENESYS short-term technical assistance was provided to PESACRE, CEPASP, and FVA. GENESYS consultant Toby McGrath worked with the PESACRE market research team to design a study on cupuacu markets in Rio Branco and Posto Velho, to benefit Project RECA. GENESYS consultants Darrel Miller and Pennie MaGee provided technical assistance on the FVA survey instrument to be used for the Jau National Park. Consultants were also scouted for survey design with STR-Paragominas, CNS-Amapa, and for data analysis with FVA and CEPASP.

Two GENESYS local gender specialists left their institutions, Cleusa Rancy of PESACRE and Leonardo Lacerda of FVA left their institutions and were replaced by Denise Regina Garrafiel for PESACRE, and Regina Oliveira for FVA.

Specific socio-economic research activities, both baseline and targeted, were facilitated by GENESYS in conjunction with other GCC supported NGOs. These include:

1) At STR-Paragominas, GENESYS worked closely with the union and its local GENESYS specialist, WWF, and Woods Hole Research Center to support a socio-economic survey of the Capim River communities. In late October, 1992 the STRP specialist submitted the Capim River field research proposal to GENESYS and received written feedback about how to improve the research design. STRP submitted a revised proposal in December.

2) At FVA, GENESYS provided technical assistance for questionnaire design and provided field research funds (logistical support) to FVA's pre-test field trip in October, 1992 organized by the local GENESYS specialist, to refine a questionnaire designed to survey the Jau national Park. Organizations involved include FVA, WWF, IBAMA, and IMA.

3) At PESACRE, GENESYS helped facilitate the reorganization of the socio-economic commission, conduct a sondeio at RECA/Nova California, plan additional research, and arrange for technical assistance for a market study on cupuacu. PESACRE also sent a research proposal to GENESYS for additional socio-economic research at RECA for which feedback was provided.

4) At CEPASP, GENESYS formulated a marketing research team. CEPASP submitted a proposal for field expenses to GENESYS in early November, 1992 requesting funding for two individuals from CEPASP and Araras to join the GENESYS team for data collection in Belem and Sao Luis. GENESYS funded this work and the majority of the field research was done by Pennie MaGee (GENESYS), Ivonete Trindade (CEPASP), and Raimundo Barbosa (Caixa Agricola at Araras).

The first phase of fieldwork for the GENESYS community-based marketing study of cupuacu was carried out in September and October by Judite Souto and Darrel Miller, primarily in Araras and Maraba, working together with Ivonete Trindade of CEPASP and two

51

community researchers from Araras. After a preliminary analysis of the data, the research instruments were refined, and in late November and December, Darrel Miller and Pennie MaGee, together with Raimundo Barbosa, carried out field work on markets in Belem and Sao Luis.

D. Problems and Delays

No major problems or delays exist.

E. Major Activities or Corrective Actions During the Next Six Months

- * Finalize marketing studies.
- * Decide on terms of renewal of GENESYS buy-in.
- * Assess possible contribution of GENESYS to GCC Program performance evaluation.
- * Schedule mid-term evaluation.

ERS-04/27/93



PROJECT STATUS REPORT

October 1, 1992 - March 31, 1993

I. BACKGROUND DATA

Project Title: **GCC: Forest Management and Research**
 Program Number: 598-0784
 PASA Number: 512-0784-P-AG-1044-00
 Date of Authorization: August 29, 1991
 Date of Obligation: August 29, 1991
 PACD: December 30, 1993
 Implementing Agencies: IBAMA, EMBRAPA, INPA
 Major Grantee: USDA/Forest Service
 AID Project Manager: Eric Stoner
 Status of Cps/Covenants: N/A

Date of Last Evaluation: N/A Next Evaluation: 2nd qtr. FY93
 Date of Last Audit: N/A Next Audit:

FINANCIAL DATA

Amount Authorized: \$267,000 + \$300,000
 Amount Obligated: \$267,000 + \$300,000
 Amount Committed: Period: FY91
 Cumulative: \$267,000 + \$300,000
 Accrued Expenditures: Period - Projected:
 Period - Actual: not reported
 Cumulative: not reported
 Period - Next:
 Counterpart
 Contribution: Planned: \$135,000 + \$649,500
 Actual: N/A

% LOP Elapsed (as of March 31, 1993): 66%
 % of Total Auth. Oblig.: 100%
 % of Total Oblig. Exp.: 72%
 % of Total Auth. Exp.: 72%

II. PROJECT PURPOSE

The two main activity areas have as project purposes:

1) Develop strategies to mitigate the impact of fire related gases on the atmosphere;
and

2) Develop a forest management plan as a model to other National Forests in the Amazon.

Relationship to Mission Strategic Objectives

A. Linkage to strategic objectives:

This project contributes directly to the AID/Brazil strategic objective, "Environmentally and socioeconomically sustainable alternatives to deforestation adopted beyond target areas", by conducting activities which support 3 program outcomes: 1) Targeted policies to support environmentally sound land use adopted and/or implemented; 2) Systems for sustainable management of forested areas identified, promoted and adopted in target areas; and 3) Systems disseminated beyond target areas.

III. PROJECT DESCRIPTION

A. Natural Forest Management: The forest management component addresses both the operational management of National Forest Lands as well as the research information needed by managers. Operational management will focus on collaboration with IBAMA on National Forest organization, planning, administration, and management and related needs. An information exchange system involving training and reciprocal site visits will be established to allow for cooperation and interaction on policy issues.

Emphasis is given to on-site assistance to forest land managers in the operational aspects of administering forest land, including forest land and resource survey, boundary demarcation, forest planning, harvesting and wood utilization, as well as development of non-timber forms of revenue from forest land and employment generation for people living in the forest. Initial activities will be carried out in the Tapajos National Forest near Santarem and will feature technical exchanges between IBAMA forest managers and scientists at the Institute for Tropical Forestry in Puerto Rico.

B. Training in Environmental Assessment: In coordination with the World Wildlife Fund, EPA, and the Environmental Law Institute, the Forest Service is developing a training program on the implementation, processing, and management of environmental assessments.

C. Natural Resource Management Training Course: Forest Service has been requested by IBAMA to provide a technician-level course on the administration and management of national forests. A "train the trainer" approach will be used to transmit concepts involving administrative procedures, personnel issues, policies, leadership training, how to encourage public participation, group dynamics, participatory management, and communications skills.

D. Fire Research and Management: The fire component addresses both fire research (implications for global climate change, remote sensing and GIS for fire pinpointing and

559

areal extent measurement) and management aspects such as firefighting techniques and disaster preparedness. Fire assessment procedures will be researched combining satellite-and aircraft-based remote sensing of fire physical and chemical properties and wildfire impacts on air, soil, water.

Fire management activities will concentrate on training and technical assistance. Objectives are to establish a fire danger rating system and zoning system for wildfire control, establish a fire information/extension system, and establish a firefighter exchange training program.

V. PROJECT STATUS

A. Planned EOPS

For the two main activity areas, EOPS are:

1. Strategies for fire prevention and control adopted by Brazilian environmental agencies.
2. Forest management plans implemented in target areas.

B. Major Outputs

For the two main activity areas, outputs are:

- 1.1 Estimates of fire extent, radiant energy release, biomass consumption, and mass emission flux (cerrado, transition forest, and moist tropical forest);
- 1.2 Determination of atmospheric deposition, biogenic emissions, nitrogen and carbon mass balance.
- 1.3 Policy-makers, managers, and fire fighters acquire skills to develop and implement strategies for fire prevention and control in natural ecosystems in Brazil.
- 2.1 Forest management plan for the Tapajos National Forest.
- 2.2 Brazilian environmental agency professionals trained in forest management.

C. Other Accomplishments and Overall Status

Presentations made at the April, 1992 fire symposium were published in two volumes released in March, 1993, "Guidelines for Researchers and Managers Working with Wildland Fires and Burning in Brazil" and Conclusions of the First National Seminar on Forest Fires and Burning". A meeting was held in Orlando Florida in March, 1993 for Brazilian and American collaborators on activities involving fire research and management. Results of the August-September, 1992 fire assessment mission in Brazil have been summarized in a paper to be published in the June, 1993 Photogrammetric Engineering and Remote Sensing,

"Assessing fire emissions from tropical savanna and forests of central Brazil," by Philip Riggan, James Brass, and Robert Lockwood.

Forest Service has reached an agreement with EPA, ELI, and WWF on shared responsibilities for the trainers workshop on environmental assessment to be held in Washington, D.C. in July, 1993.

No activities were reported on forest management this period, although additional support for these activities were leveraged through the January 15, 1993 White House announcement of \$1.6 million for Forest Service activities on public and private land management in Para State. A symposium/workshop on "Management and Rehabilitation of Degraded Lands and Secondary Forests in the Amazon" was held in Santarem, Para April 18-22, 1993 co-sponsored by Forest Service and EMBRAPA/CPATU.

D. Problems and Delays

Coordination of this activity from September, 1992 to February 1993 was handled by five individuals on temporary detail to Washington, D.C. A full time coordinator for Brazil activities has only recently been designated by Forest Service.

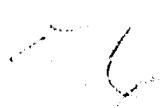
E. Major Activities or Corrective Actions During the Next Six Months

- * Modify PASA amendment to reflect lack of progress in definition of forest management activities in Tapajos.

- * Scale down Forest Service activities under GCC to reflect the inability to place an on-site coordinator in Brazil.

- * Establish procedure for periodic Forest Service reporting on Brazil activities.

ERS-04/29/93



PROJECT STATUS REPORT

October 1, 1992 - March 31, 1993

I. BACKGROUND DATA

Project Title: **GCC: Environmental Assessment Training**
 Program Number: **598-0784**
 PASA Number: **512-0784-P-EP-1045-00**
 Date of Authorization: **August 30, 1991**
 Date of Obligation: **August 30, 1991**
 PACD: **March 31, 1993**
 Implementing Agencies: **IBAMA**
 Major Grantee: **U.S. Environmental Protection Agency**
 AID Project Manager: **Eric Stoner**
 Status of Cps/Covenants: **N/A**

Date of Last Evaluation: **N/A** Next Evaluation: **2nd qtr. FY93**
 Date of Last Audit: **N/A** Next Audit:

FINANCIAL DATA

Amount Authorized: **\$50,000**
 Amount Obligated: **\$50,000**
 Amount Committed: **Period: FY91**
 Cumulative: \$50,000
 Accrued Expenditures: **Period - Projected:**
 Period - Actual: \$29,797
 Cumulative: \$29,797
 Period - Next:



3. Increased, more effective participation of NGOs in the EA process.

B. Major Outputs

1. Improved capacity of Amazon groups to use the EA process.
2. Improved capacity for Amazon groups to participate in the EA process.
 - 1.1, 2.1 At least 12 Brazilians trained as EA trainers by 9/1993.
 - 1.2, 2.2 At least 3 courses delivered in Brazil by FY95.
 - 1.3 Twenty-four Amazon officials trained in EA and enforcement principles.
 - 1.4 Thirty Brazilian attorneys trained in EA/enforcement principles.
 - 1.5 At least 10 Brazilian attorneys trained (US) in EA principles.
3. Improved targeted standards.
 - 3.1 Research on pasture and forestry indicators completed by 12/94.

C. Other Accomplishments and Overall Status

A three week training program has been scheduled in the U.S. for July, 1993 to develop a cadre of local training experts for delivery of EA training workshops in the Amazon. Participants will receive facilitator training in order to teach the EPA Environmental Assessment Training course, as well as receive the WWF Terms of Reference for EAs Seminar, portions of the USFS EA field course, the ELI Public Participation Strategies Workshop and portions of its Mechanisms to Implement Environmental Law Course. Participants will spend 12 days in the Washington Metropolitan area, 4 days in Philadelphia, and 3 days in Harrisonburg, Virginia. In late March, 1993 a cost sharing formula was established to split training expenses between EPA, WWF, ELI, Forest Service, and the SUNY training program under GCC. Candidate review is underway and from 8-12 participants should be selected by early May, 1993. Applicants will be judged based on their knowledge, credibility, and demonstrated commitment to environmental management. To be eligible for the training program, applicants will have to commit to working with other cadre members to deliver at least five EA courses in the Amazon by 1995.

D. Problems and Delays

Delay in definition and delivery of the training program required that the PACD for the EPA PASA be extended to September 30, 1993.

E. Major Activities or Corrective Actions During the Next Six Months

59

from the Amazon region, with proven markets. Research will focus on four areas - collection of the trade histories for 20 priority NTFPs of the past century, identification of ways to reduce post-harvest losses for 5 types of NTFPs (including improved harvesting techniques), collection of chemical as well as health and safety data on 6 to 10 key commodities, and study of the current marketing systems for 3 to 4 key but lesser traded commodities.

2. Two background papers will be prepared of a more general nature that will shape the overall strategy of AID and other donors working in the region. One paper will focus on the potential and problems of adding value to products in the region, taking a critical look at where it is advisable to intercede and where changes should be avoided at this time. This research will emphasize community, regional, and commodity differences. The second background paper will explore and evaluate financial mechanisms available to donor agencies working in the region, pointing out the strengths and weaknesses of each depending on the type of program being considered.

3. Jason Clay, Director of Cultural Survival Enterprises, will participate in the World Bank team in the pre-appraisal and appraisal missions to determine how to utilize G-7 funds for component activities involving natural resource management and extractive reserves. Dr. Clay will emphasize the need for programs that link income generation and conservation of biodiversity.

4. Model processing and value-added initiatives will be identified and funded by Cultural Survival for commodities that are not currently being exported by local communities in the Amazon. Cultural Survival will identify the types of local organizational capacity that must be strengthened if forest residents are to enter the market economy more on their own terms. Local NGOs that can provide such technical assistance will be identified.

IV. PROJECT STATUS

A. Planned EOPS

1. CSE sales of Brazil nuts reaches 300 t/year in FY93 with 140 t sourced from local groups. Price paid to nut collectors doubled from prior to CSE involvement.
2. CSE sales of vegetable oils from Amazon reaches 45 t in 1993, with 15 t coming from local groups; harvesters receive 50% more than before CSE initiative.
3. CSE sales of Amazonian fruits reach 60 t in 1993 with 30 t coming from local groups who earn 30% more than prior to CSE involvement.

B. Major Outputs

- 1.1 Disseminate research findings to producer groups, NGOs, foundations, multi- and bi-lateral agencies.

600

2.1 Provide working capital to producer groups.

3.1 Promote NTFP marketing/trade issues within G-7 Pilot Program.

4.1a Certify products "wild" or "organic".

4.1b Finance a fruit processing plant.

4.1c Finance oil presses.

4.2 Provide technical assistance to local groups on marketing potential, appropriate technology, financial analysis/planning, and marketing.

C. Other Accomplishments and Overall Status

Antonio Sergio Monteiro Filocreao has begun research on the trade history of 15-20 currently traded forest products. A draft report will be delivered in May.

David Chandler is undertaking research on techniques to improve harvesting and reduce post-harvest losses of four commodities, with a draft report expected by May.

Jim Byron is directing research on health and safety information on 6-10 species with market potential. Information being gathered will be used to put together spec sheets required by manufacturers when considering whether to use a commodity or not. Such sheets will make it easier to sell these products in the U.S. and Europe.

Cultural Survival has begun to undertake chemical-nutritive analyses on various new products (e.g. cupuassu) and on new byproducts of old products (e.g. Brazil nut flour, oil, and butter). Testing is taking place on samples of commodities coming from decentralized processing plants to check for contaminants and evidence of sub-standard sanitary conditions. This has taken place for Brazil nuts from Xapuri and Cachoeira extractive reserves, babassu oil from Maranhao, cupuassu from Tome Acu and andiroba from Marajo Island.

Jim LaFleur is undertaking research on identifying key issues for deciding when to add value locally for four commodities: Brazil nut, cupuassu, babassu, and cashews. Data from IPHAE's cupuassu processing plant in Porto Velho will be used to examine various options. A final report is expected by July.

Cultural Survival Enterprises has funded IPHAE with \$16,000 to construct a cupuassu fruit processing plant in Porto Velho. AID loan money will be used to guarantee the purchase of all cupuassu pulp processed by the plant. CSE is also negotiating with Rockefeller Foundation to fund three different oil presses in the Amazon, a Brazil nut press in Xapuri, a babassu press in Maranhao, and a multi-species oilseed press in Humaita, Amazonas.

Organic certification for both Brazil and cashew nuts as "wild" and "organic" is being researched by CSE and EcoTec. In late December, Hugo Skoppek, the inspection manager for FVO (Farm Verified Organic) accompanied Jim LaFleur to CAEX in Xapuri, Acre spent three days inspecting the plant and gathering and storage areas. No difficulty was seen in certifying Brazil nuts from this plant as wild/organic. A question remains whether local Brazilian groups can become licensees of internationally recognized certifiers acceptable to U.S. and European markets.

CSE and EcoTec have provided technical assistance in financial planning and analysis to the central nut-shelling factory in Xapuri. They have also assisted IPHAE in the design, implementation and running of the cupuassu processing plant, and will continue to provide feedback on quality and packaging issues from companies already purchasing Amazonian fruit pulps.

D. Problems and Delays

World Bank assessment of G-7 Pilot Program natural resource management issues has been postponed to later in 1993.

By late April, 1993 preliminary word was received that major changes had taken place within Cultural Survival, deemphasizing marketing and trade of forest products. Jason Clay, the principal contact on this grant agreement, is no longer with the organization. As of early May, no indication has been received from Cultural Survival of their plans for honoring this grant agreement. Jason Clay has assured the USAID/Brazil Project Officer that sub-grants involving most of the main studies listed in this Project Status Report will not be affected.

E. Major Activities or Corrective Actions During the Next 6 Months

- * Resolve issues related to deemphasis by Cultural Survival of marketing and trade of forest products.

- * Receive and review reports of special studies.

ERS-04/30/93

PROJECT STATUS REPORT

64

October 1, 1992 - March 31, 1993

I. BACKGROUND DATA

Project Title: **GCC: Model Forest/Agroforestry Management
and Forest Policy (R&D/BSP funded)**
 Program Number: 598-0784
 Date of Authorization:
 Date of Obligation:
 PACD:
 Implementing Agencies: Various Brazilian institutions for
individual subprojects.
 Major Grantee: **World Wildlife Fund**
 AID Project Manager: Eric Stoner (for USAID/Brazil)
 Status of Cps/Covenants: N/A

date of last evaluation: N/A next evaluation:
 date of last audit: N/A next audit:

FINANCIAL DATA

Amount Authorized: \$537,086
 Amount Obligated: \$537,086
 Amount Committed: Period: FY91
 Cumulative: \$537,086
 Accrued Expenditures: Period - Projected: not reported
 Period - Actual: N/A (R&D Project)
 Cumulative: \$367,540.20
 Period - Next: N/A
 Counterpart
 Contribution: Planned: N/A
 Actual: N/A

% LOP Elapsed: (as of Sept. 30, 1992): 80%
 % of Total Auth. Oblig.: 100%
 % of Total Oblig. Exp.: 68%
 % of Total Auth. Exp.: 68%

II. PROJECT PURPOSE

The multiple project activities have the following purposes:

1. Sustainable management of cleared forest margins identified, promoted, and adopted in target areas.
2. Targeted policies reviewed from an environmental perspective and recommendations made

for their improvement and acceptance.

Relationship to Mission Strategic Objectives

A. Linkage to strategic objectives:

This project contributes directly to the AID/Brazil strategic objective, "Environmentally and socioeconomically sustainable alternatives to deforestation adopted beyond target areas", by conducting activities which support 4 program outcomes:

- 1) Targeted policies to support environmentally sound land use adopted and/or implemented;
- 2) Systems for sustainable management of cleared areas identified, promoted and adopted in target areas;
- 3) Systems for sustainable management of forested areas identified, promoted and adopted in target areas; and
- 4) Systems disseminated beyond target areas.

III. PROJECT DESCRIPTION

Two community agroforestry pilot projects are being conducted:

- 1) Araras community near Marabá, Pará in a recent settlement with the natural forest largely intact. Initial emphasis here is harvest and commercialization of cupuaçu fruit collected largely from natural stands, but also from recently planted agroforestry plots. Depulping of cupuaçu is conducted at harvest and the pulp is preserved in freezers maintained by the community, for off-season sale at higher prices.
- 2) Four settlements along the Capim River in Paragominas municipality, Pará where there is a mix of intact forest and degraded pasture land and regrowth forest. Community nurseries are established and the 69 participating colonists families are encouraged to introduce agroforestry practices that restore degraded land while reducing the pressure to clear additional land.

Through the Belém-based research NGO IMAZON, Institute for Man and the Environment in the Amazon, WWF is tracking timber harvest being conducted near Paragominas according to current federal regulations which require a management plan for sustainable forest use. Regrowth potential of desirable timber species is being conducted as well as the effect of interventions aimed at reducing damage and increasing regrowth, such as careful siting of logging roads and vine removal. Results of these studies are critical as information for the timber policy task force which is reviewing current federal timber policy with the intent of suggesting options for change.

IV. PROJECT STATUS

The project is in its second year of activities. There is strong ground support through the

activities of agronomists hired on-site in Marabá and Paragominas with the local workers syndicates, and through IMAZON, a strong NGO with a serious research perspective. IMAZON has established the timber study site on a 2000ha tract 20km from Paragominas. The sawmill owner agreed to cede 200ha for a demonstration project. The 200ha area is divided into two 100ha blocks, one logged in the usual fashion and one with improved harvest and post-harvest practices.

A. Planned EOPS

- 1.1 Number of hectares or number of farmers using improved management systems in the Araras settlement; number of systems being tried by individual farmers by 1996.
- 1.2 Recommended systems installed by thirty families of four communities along the Capim River by 1995.
- 2.1 Recommendations to improve forestry policy in the Amazon made by 1995.
- 2.2 Recommendations to change policies that encourage unsustainable use of forests made by 1995.
- 2.3 Criteria for two types of forest management made by 1995.

B. Major Outputs

- 1.1 NTFP production expanded in Araras community.
- 1.2 Agroforestry training provided in Araras community.
- 1.3 Nursery established in Araras community.
- 1.4 NTFP marketing expanded for Araras community.
- 1.5 CEPASP administrative infrastructure installed.
- 2.1 Agroforestry systems for shifting plots promoted Capim.
- 2.2 Agroforestry systems for secondary growth areas promoted in Rio Capim communities.
- 2.3 Systems to manage small animals promoted in Capim communities.
- 2.4 Community members trained on seedling production techniques and planting in Rio Capim communities.
- 2.5 Value-added schemes installed in Rio Capim communities by 1995.

- 3.1 Background (existing) information about the issue collected and analysed.
- 3.2 Focused research designed, implemented and completed.
- 3.3 Recommendations to overcome "loopholes" in the existing federal legislation regarding forest management plan prepared.
- 3.4 Ecologically and economically sustainable management plan prepared.
- 3.5 Plan implemented by logger/sawmill.
- 3.6 Ecological and economical monitoring of managed and non-managed areas conducted.
- 3.7 Guide prepared on how to sustainably manage forests.
- 3.8 Results disseminated to other loggers/sawmill owners.
- 4.1 Formation of a forum for forest policy.
- 4.2 Forest policy bottle-necks identified.
- 4.3 Other sectorial policies that encourage deforestation identified.
- 4.4 Studies to propose recommendations completed.
- 4.5 The concept of reforestation association applied for the Amazon region.
- 4.6 Studies to define labeling criteria defined.

C. Other Accomplishments and Overall Status

IMAZON has completed inventory of the 200ha pilot area, 100ha of which will be managed according to a model management plan, and 100ha that will be managed by the logging company using its traditional methods. Logging has started in this second area and management problems such as toppled trees, trees pulled down by a network of vines, and excessive bulldozing damage were evident. IMAZON has a complete survey of this area and will apply its model method to estimate the cost-benefit that the logging company would have realized had it used IMAZON's plan in that area.

The forest policy activities have been limited to compilation of bills related to deforestation and forestry activities proposed by law-makers. Three changeovers in the Presidency of IBAMA during this period have made it difficult for the timber policy task force to be reconvened.

The community agroforestry activities in the Paragominas municipality have been more successful in Sao Sebastiao and Nazaré, where the communities are more organized and more

families are involved in the project from the beginning. The communities are starting the preparation of seedlings for the next rainy season, with an average of 20,000 seedlings produced by each community. In the Araras community near Marabá, CEPASP has opened an office for commercialization and has provided a small rotating capital fund to allow the co-op to buy more cupuaçu pulp from farmers.

D. Problems and Delays

With the expected restructuring of IBAMA under the new Ministry of Environment, it is hoped that the timber policy task force can be reconvened.

E. Major Activities or Corrective Actions During the Next Six Months

- * Conduct field review of all WWF/GCC activities - July, 1993.
- * Monitor September, 1993 timber harvest in managed tracts.
- * Track arrangements with Caterpillar for donation/loan of "environment friendly" skidder/logging equipment.
- * Involve local WWF office in Brasilia in timber policy working group activities.

ERS - 04/30/93

		+ 167,856 (FY92) = \$399,548
Amount Obligated:	\$399,548	
		Cumulative:
Accrued Expenditures:	Period - Projected:	\$116,417.34
	Period - Actual:	\$116,417.34
	Cumulative:	\$348,109.34
	Period - Next:	N/A
Counterpart		
Contribution:	Planned:	N/A
	Actual:	N/A

% LOP Elapsed (as of March 31, 1993):	50%	(of FY92 amount)
% of Total Auth. Oblig.:	100%	
% of Total Oblig. Exp.:	70%	
% of Total Auth. Exp.:	70%	

II. PROJECT PURPOSE

Systems for sustainable management of cleared, degraded forest margins identified, promoted, and adopted in target areas.

Relationship to Mission Strategic Objectives

A. Linkage to strategic objectives:

This project contributes directly to the AID/Brazil strategic objective, "Environmentally and socioeconomically sustainable alternatives to deforestation adopted beyond target areas", by conducting activities which support the program outcomes:

1) Systems for sustainable management of cleared areas identified, promoted and adopted in target areas; and 2) Systems disseminated beyond target areas.

III. PROJECT DESCRIPTION

Spatial and historical patterns of agricultural development in the State of Pará are studied by consolidating existing information in a statewide geographical information system data base. A second data base is being compiled of little-known tree species that have economic or home-use potential for small-scale farmers.

Applied research to evaluate and promote promising agricultural systems is conducted in four areas:

1) Municipality case studies of comparative economic, ecological, and social performance of agricultural production systems. The goal is to identify production systems that are economically productive and secure, environmentally benign, and socially just.

2) Intensifying shifting cultivation through fallow management. Farmers in the Zona Bragantina have been deriving their livelihoods from slash and burn cultivation of secondary regrowth forests for almost 100 years. Any impediment to forest regrowth could destabilize

this system and drive farmers to intact forest land, therefore management of the fallow regrowth cycle is critical to the success of this system.

3) Nutrient-concentrating trees as alternatives to chemical fertilizer and burning. Despite the poor nutrient status of Amazonian soils, some trees are capable of growing rapidly without chemical fertilization. These species are capable of absorbing and accumulating nutrients for recycling in agroforestry systems.

4) Silvo-pastoral tree trials. Pastures continue to be the end use of much cleared Amazonian land. Introduction of trees in small-scale pastures could partially restore the ecological function of tree cover to pasture land.

IV. PROJECT STATUS

Field projects are well underway, mostly in the Paragominas area. Institutional collaboration is outstanding, with researchers from the EMBRAPA/CPATU Agroforestry Research Center, Museu Goeldi, and IMAZON participating in studies. One researcher from FUNTAC in Acre has been trained at Woods Hole in remote sensing and GIS and another researcher from EMBRAPA's Soil Service regional office in Belem is scheduled to receive similar training.

Co-Principal Investigators Daniel Nepstad and Foster Brown are doing an outstanding job of motivating young Brazilian researchers, directing one of the BSP funded support activities best integrated into overall LAC Bureau GCC objectives.

A. Planned EOPS

1. Alternatives to use of deforested lands in place.
2. Productive potential of degraded lands restored.

B. Major Outputs

1. Statewide GIS data base compiled.
2. Ethnobotanical tree data compiled.
3. Municipality case studies completed.
4. Fallow management alternatives in place.
5. Nutrient-concentrating trees promoted.
6. Silvo-pastoral systems in place.

72

C. Other Accomplishments and Overall Status

A basin-wide data base has been compiled by Gustavo Negreiros as part of his MS thesis. This GIS map includes deforestation distribution, indices of drought duration/intensity, digitized vegetation classification, and a novel classification of Amazon vegetation based on seasonal changes of forest canopy "greenness". derived from the Global Vegetation Index data set, a compilation of five years of daily satellite imagery. The database reveals that half of the Brazilian Amazon experiences severe annual drought, but only half of this periodically dry region exhibits appreciable canopy seasonality. This suggests that vast tracts of forest that are currently in the path of deforestation are tapping deep soil water during the dry season, a function that is lost when forests are converted to pasture. This data set has been presented to the World Bank and has been made available to the Brazilian ago-ecological zoning program, a component of the G-7 Pilot Program to Conserve the Brazilian Rain Forest. It is also being incorporated into the NASA/EOS Pathfinder project.

At a finer scale, Woods Hole researchers have worked with the Rural Syndicate of Paragominas to map land use changes along the Rio Capim. The vivid imagery of a changing agricultural landscape is now one of the Syndicate's most powerful tools in their efforts to secure land title and provides a quantitative baseline for measuring the impacts of on-going agroforestry programs. Ima Vieira, currently an AID-supported visiting scholar at Woods Hole is conducting a similar change-detection exercise for the Zona Bragantina, east of Belem.

A medicinal plant herbarium has been established at the STRP headquarters in Paragominas. More than 100 plant species have been labeled with scientific names, common names, and method of utilization. This work, conducted by Patricia Shanley, Leda Luz, and Irene Hohn now includes establishment of medicinal gardens in colonists' backyards, cross-checking the efficacy of medicinals with the help of phytochemist Dr. Domingus Nunes of the Federal University of Para, and development of a handbook on medicinal uses of native plant species.

Actual yield measurements are being taken of native fruit and oil trees including piquia (*Caryocar*) and copaiba (*Copaifera*). Regeneration of these species in secondary forests is also being tracked, as these two species, along with *Clusia grandiflora*, a rattan substitute, are seen to have the greatest potential for income generation amongst the colonists.

Non-timber forest products (NTFPs) from the Capim communities are being studied from the perspective of local and regional markets. Products with deep markets and stable prices are desired. Because market prices for NTFPs are generally low, the most important first step for communities is to maximize household uses of the products with a long term plan for marketing some of them.

Information on household income, food consumption and expenses is being gathered in the Capim communities of Nazare and Quiandua to assess the household potential of native

plants. Community members participate in design of the questionnaire and in the actual interview process.

D. Problems and Delays

Funding for WHRC arrived late in the fiscal year after uncertainty of funding through BSP. WHRC is fully staffed with hands-on field personnel and cannot afford interruptions in funding like occurred last year.

E. Major Activities or Corrective Actions During the Next Six Months

* Negotiate FY93 funding for WHRC as a LAC Bureau project.

* Schedule visit of Mark Renzi (MSI/PRISM) to Belem to work on development of log frame of WHRC activities with field personnel.

ERS - 05/03/93

PROJECT STATUS REPORT

October 1, 1992 - March 31, 1993

I. BACKGROUND DATA

Project Title: GCC: Enhanced Outreach and Training for the

74

environmentally sound land use adopted and/or implemented.

III. PROJECT DESCRIPTION

Funding under the AID BSP Program supports five activities:

- 1) Thesis research of two Brazilian PhD students investigating the processes of forest regeneration in abandoned pastures;
- 2) Field course for Brazilian graduate students;
- 3) Data analysis of microclimate measurements and satellite imagery to enhance abilities to monitor forest dynamics across large reaches of the Amazon basin;
- 4) Follow-up to the Four Neotropical Rainforests Workshop to be held in Manaus; and
- 5) Field excursion to Brazil by the Project Director of the BDFF project at the Smithsonian Institution in Washington, D.C.

IV. PROJECT STATUS

No additional information has been received on this project, which did not receive renewed funding from BSP in 1992.

A. Planned EOPS

1. Remote sensing publication disseminated to relevant parties and internalized.
2. Brazilian students trained by BDFF apply their findings to management problems.
3. Research protocols implemented at BDFF research site by 1993.

B. Major Outputs

- 1.1 University of Washington research on remote sensing incorporates data from BDFF.
- 1.2 Brazilian PhD and masters students carry out research in tropical ecology.
- 2.1 OTS (Organization of Tropical Studies) field course held.
- 3.1 Research protocols established for a coordinated system of tropical forest research sites.

C. Other Accomplishments and Overall Status

Project status was reviewed with project director Rob Bierregaard at the December, 1991 GCC coordination meeting. Contacts have been made by the project director with the Woods Hole group in Belem to discuss complementary efforts and research approaches to take advantage of the degraded areas surrounding the forest fragments for study of regrowth potential. Effective exchange has taken place between personnel of the BDFF project north of Manaus and the Woods Hole project in Paragominas.

76

Project staff participated in the September 10-11, 1992 Symposium in Washington, D.C., "Forest Remnants in the Tropical Landscape: Benefits and Policy Implications". Some of the most informative presentations at this meeting were made by personnel associated with the GCC Program - Rob Bierregaard of Smithsonian, Dan Nepstad of Woods Hole, and Virgilio Viana of USP/Piracicaba who has consulted for WWF on timber policy and environmental assessment. This emphasizes the importance of continuity of long-term field-based activities to understanding Amazon development issues.

D. Problems and Delays

Funding from AID/BSP for the Smithsonian BDFP Project was not renewed in FY92.

E. Major Activities or Corrective Actions During the Next Six Months

With the cutoff in funding to this project, the importance of this long standing field-based activity to the GCC Program should be evaluated early in FY93 for assessment of funding alternatives.

ERS - 04/30/93

PROJECT STATUS REPORT

CY 92

I. BACKGROUND DATA

Project Title: INTERCOUNTRY TECHNOLOGY TRANSFER - ITT

Project Number: 598-0616

Date of Authorization: September 30, 1985

Date of Obligation: FY' 85

PACD: N/A

Implementing Agencies: Associação Brasileira dos Companheiros das Américas

Major Contractors: NATIONAL ASSOCIATION OF THE PARTNERS OF THE AMERICAS - NAPA

AID Project Managers: Mr. Ricardo S. Falcao

Status of CPs/Covenants: N/A

FINANCIAL DATA

GRANT No. 598-0616-G-SS-9003 (FY' 89)

Amount Authorized: \$473,000

Amount Obligated: \$473,000

Amount Committed: Cumulative: \$473,000

Accrued Expenditures Period - Projected: \$62,812

Period - Actual: \$31,978

Cumulative: \$442,166

Period - Next: \$30,834

Counterpart

Contribution:	Planned: \$180,000
(LOP)	Actual: \$120,000 (ATLANTIC, PRIVATE COMPANIES, IBM, American Airlines)

% of LOP Elapsed (as of March 30, 1993): 90%

% of Total Auth. Oblig.: 100%

% of Total Oblig. Exp.: 87%

% of Total Auth. Exp.: 87%

Date of Last Evaluation (Financial Review): August, 1991

Date of last Audit: N/A

Next Evaluation: N/A

Next Audit: N/A

72

GRANT No. 598-0616-G-00-0041-00 (FY' 90)

Amount Authorized: \$470,000

Amount Obligated: \$470,000

Amount Committed:	Cumulative: \$470,000
Accrued Expenditures	Period - Projected: \$172,748
	Period - Actual: \$63,857
	Cumulative: \$361,109
	Period - Next: \$38,891

Counterpart

Contribution:	Planned: \$180,000
(LOP)	Actual: \$110,000 (USIS, ATLANTIC, PRIVATE COMPANIES, American Airlines)

% of LOP Elapsed (as of March 30, 1993): 88%

% of Total Auth. Oblig.: 100%

% of Total Oblig. Exp.: 63%

% of Total Auth. Exp.: 63%

Date of Last Evaluation (Financial Review): August, 1991

Date of last Audit: N/A

Next Evaluation: N/A

Next Audit: N/A

GRANT No. 598-0616-G-00-1051 (FY' 91)

Amount Authorized: \$307,800

Amount Obligated: \$307,800

Amount Committed:	Cumulative: \$307,800
Accrued Expenditures	Period - Projected: \$262,951
	Period - Actual: \$85,643
	Cumulative: \$130,492
	Period - Next: \$37,308

Counterpart

Contribution:	Planned: \$100,000
(LOP)	Actual: \$ 20,000 (PRIVATE COMPANIES)

% of LOP Elapsed (as of March 30, 1993): 83%

% of Total Auth. Oblig.: 100%

77

% of Total Oblig. Exp.: 15%
 % of Total Auth. Exp.: 15%

Date of Last Evaluation: N/A
 Date of last Audit: N/A
 Next Evaluation: N/A
 Next Audit: N/A

GRANT No. 512-0616-G-00-2042-00 (FY' 92)

Amount Authorized: \$260,430

Amount Obligated: \$260,430
 Amount Committed: Cumulative: \$260,430
 Accrued Expenditures Period - Projected: \$30,000
 Period - Actual: \$20,403
 Cumulative: \$20,403
 Period - Next: \$30,000

Counterpart

Contribution: Planned: \$80,000
 (LOP) Actual: N/A

% of LOP Elapsed (as of March 30, 1993): 75%
 % of Total Auth. Oblig.: 100%
 % of Total Oblig. Exp.: 0%
 % of Total Auth. Exp.: 0%

Date of Last Evaluation: N/A
 Date of last Audit: N/A
 Next Evaluation: N/A
 Next Audit: N/A

II. PROJECT PURPOSE

ITT project was developed to support USAID/BRAZIL in achieving its strategic objectives in the priority areas: AIDS Prevention, Narcotics Awareness, Global Climate Change, Economic Modernization and Democratic Initiatives.

The project objective is to train Brazilian professionals in the US and in-country, through participant training, seminars, international travel and networking.

RELATIONSHIP TO COUNTRY STRATEGY:

The Intercountry Technology Transfer project/ITT supports through training all mission strategic objectives, described on the "MODIFIED PROGRAM OBJECTIVES DOCUMENT AND ACTION PLAN/AID/BRAZIL (FY 93-94)", April, 1992.

III. PROJECT DESCRIPTION

SUMMARY:

This project consists of the financing of long and short term training in the United States and in-country, for private and public sectors individuals from Brazil, addressed to economic, social, and political development areas of concern by mission, and with priority attention to long term leadership potential of the individuals selected.

ACCOMPLISHMENTS OF THE PERIOD:

This project has been extremely successful in training Brazilian professionals in USAID/Brazil priority areas in the US and in-country; several activities were developed with a major impact among health professionals working in areas, such as: Drug awareness and AIDS during this second Fiscal Year Semester. Following there is a description of the major activities developed during this period:

A. AIDS PREVENTION IN THE COMMUNITY SEMINAR IN THE US (Grant FY' 91): The purpose of this activity was to train Brazilian professionals on key positions in the Brazilian Government and NGOs to interchange experiences with other US organizations in specific areas of AIDS prevention in the community program development. 9 (nine) professionals were trained under this activity. The program was a success and follow-on activities include a number of improvements in the development of AIDS activities with target populations in several Brazilian states.

B. III INTERNATIONAL SEMINAR ON AIDS IN THE WORKPLACE IN SAO PAULO (Grant FY' 90): The seminar occurred from December 02 to 05, 1992, at the Ca' D'oro Hotel in Sao Paulo. This activity was a follow-on to the 1st and 2nd International Seminars held in Sao Paulo and Rio de Janeiro in previous years. This III Seminar had the participation of over 200 Brazilian professionals from various states working on AIDS prevention in the workplace. The participants will be representatives from government agencies (e.g. MOH Department of STD/AIDS), the private sector, and community based organizations.

C. DRUG ABUSE PREVENTION IN THE COMMUNITY SEMINAR IN THE US (Grant FY' 91 AND 92): This seminar will occur from May 10 to 21, 1993. This activity will be a follow-on to last August's program. It will have the participation of 10 (ten) Brazilian professionals most of them from states of Ceara and Sao Paulo, because these are

model" drug prevention programs. The seminar will provide an opportunity for participants to learn about innovative approaches to drug prevention in Brazil. Participants from Ceara and Sao Paulo will share with participants from other states about the types of programs being developed in the targeted

IV. PROJECT STATUS

A. Planned EOPS

Progress to Date

- | | | |
|--|---|---------------------|
| <p>1. 95 training in USAID/Brazil priority areas (AIDS, Drugs, and Puerto Rico)</p> <p>2. Development of 6 workshops in-country according to AID/Brazil priority areas</p> <p>3. 47 exchange experiences act. through University Linkages and Colleges and partner</p> | <p>110 short-term train. participants in the US</p> <p>3 seminars on AIDS in the workplace; and 2 seminars on Drug Awareness developed in-country in the states of RJ and Sao Paulo.</p> <p>30 Brazilian Universities program</p> | <p>GCC, and FP)</p> |
|--|---|---------------------|
- States in the US; 42 professionals sent to training

B. Major Outputs

	<u>Planned</u>				<u>Accomplished</u>			
	<u>LOP</u>	<u>PERIOD</u>	<u>Cum.</u>	<u>Next Period</u>	<u>Period</u>	<u>Cum.</u>	<u>% of LOP</u>	
1. Train.	M	E	M	E	M	E	M	E

81 61 12 06 93 67 18 12 03 06 86 64 90% 96%

C. Other Accomplishments and Overall Status

The Intercountry Technology Transfer/NAPA project in Brazil has been divided into sub-training activities according to USAID/Brazil priority areas. All activities were well defined, and objectives have been well accomplished. Close-out procedures for FY'86,87 and 88 Grants have been requested by mission to RCO/Quito.

NAPA representatives will try to reduce administrative/program cost "ratio", which has shown to be increasing over the last three years.

A plan of major tasks and activities for FY'93 was developed with NAPA representatives.

D. Problems and Delays

Close-out procedures for FY' 89, 90 and 91 Grants have been delayed due to extensions required by the Grantee.

E. Major Activities or Corrective Actions During the Next Six Months

Following there is a list of corrective actions and major activities to be organized in the next six months:

1. Programs' expenditures, which occurred after Mr. Christian financial review, will be examined by USAID/Brazil Training officer. If no problems identified, closing-out procedures request for FY' 89, 90 and 91 Grant under ITT will be sent to Quito by USAID/Brazil.
2. USAID/Brazil is discussing with representatives from NAPA in and out of country the future options for program development regarding "Democratic Initiatives".
3. USAID/Brazil will continue to follow-up with NAPA representatives the administrative/program cost "ratio".
4. USAID BRAZIL/PARTNERS will implement two seminar on Drug Awareness and one on AIDS, Environment, Democratic Initiatives and

Economic Modernization.

PROJECT STATUS REPORT

CY 92

I. BACKGROUND DATA

Project Title: LAC II Training

Project Number: 598-0640

Date of Authorization: February 11, 1985

Date of Obligation: FY' 85

PACD: September 30, 1992

Implementing Agencies: Associação Brasileira dos Companheiros das Américas

Major Contractors: NATIONAL ASSOCIATION OF THE PARTNERS OF THE AMERICAS - NAPA

84

AID Project Manager: Mr. Ricardo S. Falcao
 Status of CPs/Covenants: N/A

FINANCIAL DATA

GRANT No. 598-0640-G-SS-5069-00 (FY' 85)

Amount Authorized: \$450,000

Amount Obligated: \$450,000

Amount Committed:	Cumulative: \$450,000
Accrued Expenditures	Period - Projected: \$0
	Period - Actual: \$0
	Cumulative: \$450,000
	Period - Next \$0

Counterpart

Contribution:	Planned: \$165,000
(LOP)	Actual: Not Available

% of LOP Elapsed (as of Sept 30, 1992): 100%
 % of Total Auth. Oblig.: 100%
 % of Total Oblig. Exp.: 100%
 % of Total Auth. Exp.: 100%

Date of Last Evaluation (Financial Review): August, 1991

Date of last Audit: N/A

Next Evaluation: N/A

Next Audit: N/A

GRANT No. 598-0640-G-SS-6001 (FY' 86)

Amount Authorized: \$450,000

Amount Obligated: \$450,000

Amount Committed:	Cumulative: \$450,000
Accrued Expenditures	Period - Projected: 0
	Period - Actual: \$0
	Cumulative: \$450,000

Period - Next \$0

Counterpart

Contribution: Planned: \$165,000
(LOP) Actual: Not Available

% of LOP Elapsed (as of Sept 30, 1992): 100%
% of Total Auth. Oblig.: 100%
% of Total Oblig. Exp.: 100%
% of Total Auth. Exp.: 100%

Date of Last Evaluation (Financial Review): August, 1991
Date of last Audit: N/A
Next Evaluation: N/A
Next Audit: N/A

GRANT No. 598-0640-G-SS-7001 (FY' 87)

Amount Authorized: \$400,000

Amount Obligated: \$400,000
Amount Committed: Cumulative: \$400,000
Accrued Expenditures Period - Projected: \$0
 Period - Actual: \$0
 Cumulative: \$400,000
 Period - Next \$0

Counterpart

Contribution: Planned: \$118,000
(LOP) Actual: Not Available

% of LOP Elapsed (as of Sept 30, 1992): 100%
% of Total Auth. Oblig.: 100%
% of Total Oblig. Exp.: 100%
% of Total Auth. Exp.: 100%

Date of Last Evaluation (Financial Review): August, 1991
Date of last Audit: N/A
Next Evaluation: N/A
Next Audit: N/A

GRANT No. 598-0640-G-SS-8003 (FY' 88)

76

Amount Authorized: \$400,000

Amount Obligated: \$400,000

Amount Committed:	Cumulative: \$400,000
Accrued Expenditures	Period - Projected: \$21,654
	Period - Actual: \$21,654
	Cumulative: \$400,000
	Period - Next \$0

Counterpart

Contribution:	Planned: \$118,000
(LOP)	Actual: Not Available

% of LOP Elapsed (as of Sept 30, 1992): 100%

% of Total Auth. Oblig.: 100%

% of Total Oblig. Exp.: 100%

% of Total Auth. Exp.: 100%

Date of Last Evaluation (Financial Review): August, 1991

Date of last Audit: N/A

Next Evaluation: N/A

Next Audit: N/A

GRANT No. 598-0640-G-SS-9001-00 (FY' 89)

Amount Authorized: \$317,000

Amount Obligated: \$317,000

Amount Committed:	Cumulative: \$317,000
Accrued Expenditures	Period - Projected: \$13,621
	Period - Actual: \$13,621
	Cumulative: \$317,000
	Period - Next \$0

Counterpart

Contribution:	Planned: \$105,000
(LOP)	Actual: \$ 42,000 (ATLANTIC and American Airlines)

% of LOP Elapsed (as of Sept 30, 1992): 100%

% of Total Auth. Oblig.: 100%

% of Total Oblig. Exp.: 100%

% of Total Auth. Exp.: 100%

Date of Last Evaluation (Financial Review): August, 1991

Date of last Audit: N/A

87

Next Evaluation: N/A
Next Audit: N/A

II. PROJECT PURPOSE

LAC Training project funds were used by USAID/Brazil to train Brazilian professionals in the US (short and long-term) in priority areas of USAID/Brazil, such as: AIDS prevention and Drug Awareness.

RELATIONSHIP TO COUNTRY STRATEGY:

The LAC II training project supports all strategic mission objectives, described on the "MODIFIED PROGRAM OBJECTIVES DOCUMENT AND ACTION PLAN/AID/BRAZIL (FY 93-94)", April, 1992.

III. PROJECT DESCRIPTION

This project ended in september 30, 1992.

PROJECT STATUS REPORT**CY 92****I. BACKGROUND DATA****Project Title: MDC TRAINING/BRAZIL****Project Number: 512-0660-C-00-0050-00****Date of Authorization: August 21, 1989****Date of Obligation: FY' 90****PACD: March 31, 1997****Implementing Agencies: SUNY/BRAZIL****Major Contractors: RESEARCH FOUNDATION OF THE STATE UNIVERSITY OF NEW YORK - SUNY****AID Project Manager: Mr. Ricardo S. Falcao****Status of CPs/Covenants: N/A****FINANCIAL DATA****Amount Authorized: \$2,250,000****Amount Obligated: \$1,335,268****Amount Committed: Period: \$530,000****Cumulative: \$1,335,268****Accrued Expenditures Period - Projected: \$399,732****Period - Actual: \$254,674****Cumulative: \$925,210****Period - Next:\$350,000****Counterpart**

29

ACCOMPLISHMENTS OF THE PERIOD:

The project started in FY' 91. During period covered by this SAR, following there is a list of activities accomplished:

A. GLOBAL CLIMATE CHANGE SHORT-TERM TRAINING IN THE US: MDC training project has trained five professionals on Global Climate Change issues in the US. These efforts have lead Brazilian professionals to better understand the programs developed on Environment protection in the US. In addition, they have promoted interchange of experiences among Brazilian/US environmentalists.

B. DRUG AWARENESS TRAINING FOR TWO PAULISTA PROFESSIONALS: This activity was developed to follow-on professional networking among Brazilian and Americans on Drug Awareness programs. The two "Paulista" professionals selected for this activity are responsible to implement DRUGCOM/State of Sao Paulo sub-programs and they were trained on social-marketing and administration strategies.

C. ECONOMIC DEVELOPMENT AND MODERNIZATION WORKSHOP IN THE US: MDC training project has trained four professionals on key positions in CADE/SNPDE, which represents the "defense of the popular economy", in the area of "anti-trust and promotion economic competitiveness". The purpose is to show the role of the anti-trust division of the US Dept. of Justice, and related agencies involved in this area. We also co-sponsored with LAC and IPR one professional to participate in a "WAYS TO END INFLATION IN LATIN AMERICA" workshop.

D. DEMOCRATIC INITIATIVES TRAINING IN THE US: The first training in this area will be in the Congressional Budget Office. The purpose is to train five professionals in the budget analysis and projection/oversight capacity of brazilian congress, as well as strengthening the capacity of brazilian society to be able to analyse and monitor the budget process in congress

IV. PROJECT STATUS (Revised as of March 93)

A. Planned EOPS

Progress to Date

1. 8 Long-term training
according to AID/Brazil

6 participants on
Global Climate Change

91

A newsletter was published presenting follow-on activities developed and distributed to all USAID/Brazil Grantees, contacts, and several in-country institutions.

D. Problems and Delays

Because of contract's limited resources, Long-Term/Academic programs were reduced under this contract, responding to USAID/Brazil immediate needs on rapid follow-on activities in-country through its technical programs. In addition, since the new USAID Thomas Jefferson Fellowship program asks for missions to ensure that all returned participants have engaged in some follow-on activity in-country, USAID/Brazil amended the contract to include in-country training to expand and create a multiplier affect together with returnees.

E. Major Activities or Corrective Actions During the Next Six Months

Following there is a list of corrective actions and major activities to be organized in the next six months:

1. USAID/Brazil will ensure that all remaining activities and sub-agreements are completed and all bills submitted within 3 months of PACD to AID/W.
2. A mid-term evaluation will be carried out during the next reporting period regarding accomplishment of the project during the first two years.

PROJECT STATUS REPORT**CY 93****I. BACKGROUND DATA**

Project Title: AIDSCOM

Contract Number: DPE-5972-2-00-7070

Date of Authorization: August 31, 1988

Date of Obligation: FY' 88

PACD: September 30, 1992

Implementing Agencies: FIESP, BEMFAM, SOS Crianca, ATOBA, CAIXA ECONOMICA FEDERAL, PAORJ (Prostitute Association), and MOH.

Major Contractors: ACADEMY FOR EDUCATIONAL DEVELOPMENT - AED

AID Project Manager: Mr. Miguel Fontes

Status of CPs/Covenants: N/A

FINANCIAL DATA

Amount Authorized: \$673,000

Amount Obligated: \$673,000

Amount Committed:	Cumulative: \$673,000
Accrued Expenditures	Period - Projected: \$155,410
	Period - Actual: \$155,410
	Cumulative: \$673,000
	Period - Next: \$0

Counterpart

Contribution:	Planned: \$167,000
(LOP)	Actual: \$90,000 (Caixa Economica Federal, FIESP, Bankers group)

% of LOP Elapsed (as of March 31, 1992): 100%

% of Total Auth. Oblig.: 100%

% of Total Oblig. Exp.: 100%

% of Total Auth. Exp.: 100%

Date of Last Evaluation: December, 1992

Date of last Audit: N/A

Next Evaluation: N/A

Next Audit: N/A

II. PROJECT PURPOSE

AID/Brazil buy-ins to the worldwide AIDSCOM project were designed to focus on: (1) training of Brazilian Health professionals and Institutions and developing AIDS prevention materials; (2) development of AIDS in the workplace programs; (3) organization of social marketing strategies to develop AIDS educational awareness among high risk populations; and (4) behavioral research among target populations.

RELATIONSHIP TO COUNTRY STRATEGY:

The AIDSCOM project is part of the third strategic mission objective, described on the "MODIFIED PROGRAM OBJECTIVES DOCUMENT AND ACTION PLAN/AID/BRAZIL (FY 93-94)", April, 1992.

III. PROJECT DESCRIPTION

SUMMARY:

The AIDS Communication project (AIDSCOM) was created to support developing countries to organize effective public health communication approaches interacting it between the interventions and individuals whose behaviors place them at risk of the AIDS disease in specific locations. The project tries to determine together with their "host counter-parts" in each country (e.g. national AIDS committees and government policy, NGOs, and private sector) to determine which interventions most effectively influence these individuals in ways that will encourage them to try and sustain specific behaviors that prevent the spread of HIV/AIDS.

ACCOMPLISHMENTS DURING PERIOD:

FINAL EVALUATION: The AIDSCOM project in Brazil finished in September, 1992 and a final evaluation report of the program was developed by the Academy for Educational Development (AED). Mission made a review of the document and had no comments regarding lessons learned and achievements of the project.

SUB-AGREEMENTS: All sub-grantees submitted final reports to AIDSCOM. In addition, USAID/Brazil has received close-out financial report from AED, closing out its AIDSCOM financial records.

IV. PROJECT STATUS**Project ended in September, 1992.****PROJECT STATUS REPORT****CY 93****I. BACKGROUND DATA**

Project Title: AIDSTECH

Contract Number: DPE-5972-A-00-7057

Date of Authorization: August 31, 1988

Date of Obligation: FY' 88

PACD: Sept. 30, 1992

Implementing Agencies: BEMFAM, IMPACT, CCII, CULTURAL CONCEPTS, and DKT

Major Contractors: FAMILY HEALTH INTERNATIONAL - FHI

AID Project Manager: Mr. Miguel Fontes

Status of CPs/Covenants: N/A

FINANCIAL DATA

Amount Authorized: \$770,000

Amount Obligated: \$770,000

Amount Committed: Cumulative: \$770,000

Accrued Expenditures Period - Projected: \$112,443

Period - Actual: \$112,443

Cumulative: \$770,000

Period - Next \$0

Counterpart

Contribution:	Planned: 260,000
(LOP)	Actual: 120,000 (French Embassy, MOH, Local Communities)

% of LOP Elapsed (as of March 31, 1992): 100%

% of Total Auth. Oblig.: 100%

% of Total Oblig. Exp.: 100%

6/18

% of Total Auth. Exp.: 100%

Date of Last Evaluation: December, 1992

Date of last Audit: N/A

Next Evaluation: N/A

Next Audit: N/A

II. PROJECT PURPOSE

AID/Brazil buy-ins to the worldwide AIDSTECH project was designed to focus on: (1) training of Brazilian Health professionals in management skills and to improve services for AIDS prevention; (2) institutional development through training, organizing workshops with various organizations: NGO's, private sector and governmental entities; and (3) development of experiments with local NGO's through Small Projects targeted to specific high-risk population segments.

RELATIONSHIP TO COUNTRY STRATEGY:

The AIDSCOM project is part of the third strategic mission objective, described on the "MODIFIED PROGRAM OBJECTIVES DOCUMENT AND ACTION PLAN/AID/BRAZIL (FY 93-94)", April, 1992.

III. PROJECT DESCRIPTION

SUMMARY:

The AIDS Technical project (AIDSTECH) was created to support developing countries to organize effective public health educational approaches among groups and individuals whose behaviors place them at risk of the AIDS disease in specific locations. The project tries to determine together with their "host counter-parts" in each country (e.g. national AIDS committees and government policy, NGOs, and private sector) to determine which peer-education interventions most effectively influence these individuals in ways that will encourage them to try and sustain specific behaviors that prevent the spread of HIV/AIDS.

97

ACCOMPLISHMENTS DURING THE PERIOD:

FINAL EVALUATION: The AIDSTECH project finished in September, 1992, and a final evaluation report was developed by Family Health International. Mission made a final review of the document and had no comments regarding lessons learned and achievements of the project.

SUB-AGREEMENTS: All sub-grantees submitted final report to AIDSTECH. In addition, USAID/Brazil has received close-out financial report from FHI, closing-out its AIDSTECH financial records.

IV. PROJECT STATUS

Project ended in September, 1992.

PROJECT STATUS REPORT

CY 93

I. BACKGROUND DATA

Project Title: DRUGCOM

Contract Number: DPE-5834-Z-00-0008-00

Date of Authorization: June 15, 1989

Date of Obligation: FY' 89

PACD: Sept. 30, 1995

Implementing Agencies: Fundo Social de Solidariedade, Secretariat of Education and Health (Sao Paulo & Ceara), CONEN (Ceara & Sao Paulo), GREA, PROAD, IMESC, Fundacao Victor Civitta, Comunicarte, Pastoral do Menor, Federal University of Ceara, Institute for Family Studies, "Cearense" Foundation on Narcotics Awareness, and Desafio Jovem

Major Contractors: DEVELOPMENT ASSOCIATES - DA

AID Project Manager: Mr. Miguel Fontes

Status of CPs/Covenants: N/A

FINANCIAL DATA

Amount Authorized: \$500,000

Amount Obligated: \$500,000

Amount Committed: Period: \$150,000

DRUGCOM is providing training to further integration and collaboration among lead persons involved in prevention or related subjects affecting narcotics awareness, helping them to become a credible and effective force through relationships with government, the media, and other political forces within the society.

The "start-up" activities of this project centered around the formation of two informal groups of talented Brazilians, predominantly leaders in prevention from a variety of institutions, but also including journalists, political representatives, etc. The decision of working with two specific regional groups in the states of Sao Paulo and Ceara was developed after one year of extensive needs assessment work. Both groups have been developing a positive environment for working together and an agenda of critical problems and activities in each state is being organized.

ACCOMPLISHMENTS FOR THIS PERIOD:

SAO PAULO

In Sao Paulo 08 projects were developed with state entities and initiated in late July, 1992. Major counterpart resources were negotiated with Institutions involved in this program. Following there is the description of each activity and the level of "impact" that they have achieved in the last 6 months:

A. PAULISTA GROUP PROJECTS (PROAD, IMESC, AND GREA): PROAD and GREA sub-agreements, which were designed to train over 300 key education professionals on drug-related problems, are being implemented successfully. Quarterly reports are being prepared, including evaluation and follow-on results from the training sessions organized. USAID/Brazil has not yet received any of these reports, however, mission was able to participate in the coordination of agenda programs and follow-on discussions. IMESC sub-agreement still under negotiations and has not been signed by the implementing institution due to its internal administrative problems; if in the following month IMESC does not sign the sub-agreement, DRUGCOM/USAID will negotiate the cancellation of the project for FY' 93.

B. FUNDO SOCIAL DE SOLIDARIEDADE PROJECTS (FUSSESP): FUSSESP/DRUGCOM sub-agreements were designed to train 280 technical officers from different secretariats and municipalities within the state and support the State department of Education to design and produce a series of educational materials for drug prevention trainers, to be used by approximately 300 drug prevention trainers. One book has been already developed and distributed to over 220 municipalities around Sao Paulo and over 7 training sessions have been organized.

C. PASTORAL DO MENOR PROJECT: This sub-agreement, which was designed to train 50 Pastoral do menor grassroots level change agents in drug prevention content, and communication and education strategies, ended in January, 1993. This activity was previously projected to be developed within one year, but because of financial limitations it was reduced to 6 months. Final reports are being developed. The peer-educators trained

100

provided information dissemination on drug-related issues to over 5,000 disadvantaged young people in Sao Paulo's depressed areas ("favelas").

D. COMUNICARTE PROJECT (Media professionals training): This activity was designed to train 100 communicators from different media, with the intention that once trained they develop, produce and diffuse drug related messages that could reach systematically and at different times, 10 million people in Sao Paulo State, and 30 million people in Brazil. Two quarterly reports have already been developed by the contractor. 142 media professionals have been training under this sub-agreement. The project already was able to include some preventive messages in Brazilian TV shows and to increase by roughly 19% (after the start of the project) the frequency in drug awareness related articles in some Sao Paulo State newspapers and magazines. However, USAID/Brazil will determine in the following two months the need for continuity of this project.

E. FUNDACAO VICTOR CIVITTA TRAINING PROJECT: Fundacao Civitta sub-agreement, which were designed to train, through a distance education system based in printed media (Nova Escola Magazine), 250,000 teachers and education officers in drug prevention and other related drug issues, still under negotiations and it was not signed by the implementing agency. If in the following month, Fundacao Victor Civitta does not sign the sub-agreement, DRUGCOM/USAID will negotiate the cancellation of the project for FY '93.

CEARA

In Ceara, 06 projects were developed with state entities and initiated in late September, 1992. Major counterpart resources were negotiated with Institutions involved in this program. Following there is the description of each activity and the level of "impact" that they have achieved in the last 6 months:

A. CEARENSE FOUNDATION ON NARCOTIC AWARENESS PROJECT: Two sub-agreements have been approved by mission between DRUGCOM and the Cearense Foundation on Narcotic Awareness. One was designed to train 54 educators from 18 schools (9 private and 9 public) in drug prevention and to develop supporting educational materials. This project is being implemented satisfactorily, however, quarterly reports have not been received by the mission. The second activity is to train a core group of 20 professionals, through a pos-graduate program in close collaboration with the State University of Ceara. This activity had its effective date in February, 1993, and the development of its first evaluation report is projected for May, 1993.

B. CENTER FOR FAMILY STUDIES PROJECT: This activity was designed to train 80 individuals from six different community based institutions in drug abuse prevention issues. This project is being implemented satisfactorily, however quarterly reports have not been received by mission.

C. CEARA DEPARTMENT OF HEALTH PROJECT: This sub-agreement was designed to 50 adolescent leaders from 10 "favelas", in drug prevention, reaching 1,500

101

adolescents on drug abuse prevention in 12 months. The coordinators have developed a programmatic plan and drafted educational materials for the implementation of the training sessions. A first quarterly report has been received by the mission.

D. UNIVERSITY OF CEARA PROJECT: This activity was designed to train a core group of 20 consultants, in a one year post-graduate course in drug prevention. The coordination group has developed a programmatic plan and drafted all course materials; however, quarterly reports have not been received by the mission.

E. DESAFIO JOVEM (CEARA NGO) PROJECT: This activity which was designed to train 240 interested professionals from community based organizations in drug abuse prevention matters. The coordination group has developed a programmatic plan and drafted all training materials; however, training activities have not initiated and quarterly reports not received by the mission.

IV. PROJECT STATUS

A. Planned EOPS

Progress to Date

SAO PAULO and CEARA

1. Increase awareness among target groups, through improved information, education and communications systems

training workshops developed related to awareness increase among target populations with various health and educational professionals in the states of Ceara and Sao Paulo. In addition, technical assistance for host-state-government programs have been provided (over 500 professionals have been trained in the last 6 months of the project). Several training draft materials directed to specific target groups were developed. These materials will be used to train education and health professionals working in drug-related activities in a variety of sectors

B. Major Outputs

16/12

OUTPUTS PlannedOUTPUTS Accomplished**SAO PAULO****1. Development of Drug in School interventions**

- a. Sub-agreement support the State (Fundacao department of Education Educacional) to design and produce a series of educational materials for drug prevention trainers, to be used by 300 drug prevention trainers 220 municipalities teachers from trained. One book developed. Evaluations report that more than 250,000 students have benefited from this activity at a \$.80 cost per/student
- b. Sub-agreement training, through a (Fundacao distance education Victor Civitta) media system based in printed (Nova Escola Magazine), 250,000 teachers and education officers in drug prevention and other related rug issues, so they can teach about 5 million primary and secondary education students on same subjects under sub-agreement negotiations. Sub-agreement has not been signed by the implementing agency

2. Material Development and Info. Serv. to other target pop.

- a. Sub-agreement development of one train (IMESC) of trainers manual for professionals from the state secretariats sub-agreement under negotiations. Sub-agreement has not been

102

signed by the implementing agency

b. Sub-agreement The program was designed more than 50
 (Pastoral do to train 50 trainers in grass root
 Menor) the poor sectors (favelas) professionals
 of Sao Paulo State and trained.
 with Street Children, who Roughly 5,000
 will train over a period teenagers
 of 1 year, 5,000 people in received
 Sao Paulo's depressed areas some type of DA
 support under
 this project

c. Sub-agreement The program was designed to 142
 (COMUNICARTE) train 100 communicators communicators
 from different media but trained.
 emphasizing television, 19% increase
 with the intention that on DA reporting
 once trained they develop, in Sao Paulo
 produce and diffuse drug state
 related messages that could
 reach systematically and at
 different times, 10 million
 people in Sao Paulo State,
 and 30 million people in
 Brazil

d. Tech. Assist. to provide necessary 30 trainers
 (FUSSESP) resources to design and received
 implement a training training, who
 project to train 10 in turn
 trainers who will trained local
 subsequently train 280 professionals
 technical officers from from over 220
 different secretariats and municipalities
 municipalities within the in Sao Paulo
 state

3. Training of
 State professionals
 and project
 coordinators

a. Sub-Agreement to design and implement 1st quarterly

164

(PROAD) training activities with report being more than 300 key private developed by and public sector leaders, the organization directors, and implementing business leaders on drug- agency related problems

4. Research

a. Sub-Agreement to design and implement (GREA) training activity with more than 30 researchers trained on drug-related social drug-related marketing related issues over 35 researchers trained on evaluation

systems and research methods

CEARA

1. Development of Drug in School interventions

a. Sub-Agreement training a total of 54 (Cearense educators from 18 schools report being (9 private and 9 public) in developed by Foundation) drug prevention; and to the develop three video tapes implementing for use both in schools and agency in the long distance education program "Tele-Enfoque"

2. Material Development and Info. Serv. to other target pop.

a. Sub-agreement train 50 adolescent leaders (Department from 10 "favelas", in drug Strategic educational of Health) prevention. Every leader is planning and draft materials developed supposed to train 30 adolescents, which will make a total of 1,500 adolescents trained on the subject of drug abuse

105

prevention

- b. Sub-agreement to train 240 interested professionals in drug abuse prevention matters, who in turn will work with 8,500 adolescents and 4,000 children in Fortaleza on drug abuse prevention activities
- 1st quarterly report being developed by implementing agency

3. Training of State professionals and project coordinators

- a. Sub-agreement to train a total of 80 individuals from six different institution in drug abuse prevention issues and strategies. Subsequently, it is expected that approximately 19,000 community and school representative will receive some type of training on drug abuse by the institutions involved
- 1st quarterly report being developed by implementing agency
- b. Sub-agreement to train a core group of 20 consultants, in a one year post-graduate course in drug prevention
- 1st quarterly report being developed by implementing agency
- c. Sub-agreement to train a core group of 20 consultants, in a one year post-graduate course in drug prevention
- sub-agreement developed and approved by USAID/Brazil

C. Other Accomplishments and Overall Status

LAC/Washington prepared a scope of work for an evaluation of the DRUGCOM project in Brazil for the past 2 years. A Narcotics Awareness Evaluation team was formed

106

and traveled to Brazil in March, 1993. Mission reviewed first draft of evaluation report and sent comments to LAC/Washington and copies to UNDCP, NAE, and USIS. The report focused on goals achieved, programs developed, and lessons learned to be also used as a "guide" for future NA interventions in Brazil. Final report will be finished in May, 1993.

D. Problems and Delays

Some sub-agreements approved by USAID/Brazil have not yet been signed by their implementing agencies. In addition, USAID/Brazil has not received, in a timely basis, copies of quarterly reports from several programs already being implemented in Ceara and Sao Paulo.

E. Major Activities or Corrective Actions During the Next Six Months

Following there is a list of corrective actions and major activities to be organized in the next six months:

1. Mr. Miguel Fontes, USAID/Brazil NA Project Officer, will leave AID office in August, 1993, to complete his Master's Degree in the US. USAID/Brazil will hire a new project officer in July, 1993.
2. USAID/Brazil will ensure that DRUGCOM is following-up with representatives of Sao Paulo and Ceara implementing agencies to finalize pending projects papers and receive quarterly reports from all sub-agreements being implemented by June, 1993.
3. USAID/Brazil will study the possibility to expand DRUGCOM activities to one other Brazilian State, probably Minas Gerais. Mission requested project officer and DRUGCOM to develop an evaluation document and proposal for activities implementation in that state by May, 1993.
4. USAID/Brazil will work close with Development Associates to develop a detailed expenditure plan and schedule for programs being implemented in Sao Paulo and Ceara, and new activities in Minas Gerais.
5. USAID/Brazil will prepare and finalize PIO/T for FY' 93 obligation of funds. New buy-in will be sent to Washington in the end of May for final approvals.
6. USAID/Brazil will initiate discussions with in-country UNDCP representatives on activities to be implemented in Minas Gerais. Mission will evaluate the possibility of developing a co-sponsoring effort with UNDCP to implement new drug awareness activities in Minas Gerais.
7. USAID/Brazil will follow with Development Associates and sub-grantees the implementation of refinements to be made in the Brazilian program

101

according to comments and "lessons learned" provided by the LAC/Washington
NAE evaluation team after its visit to Brazil.

108

PROJECT STATUS REPORT

CY 93

I. BACKGROUND DATA

Project Title: AIDSCAP

Project Number (Amendment): 936-5972

Date of Authorization: March 18, 1991

Date of Obligation: FY' 92

PACD: September 30, 1997

Implementing Agencies: INTERAIDE, FIESP, BEM-ESTAR DA FAMILIA, ABIA, MOH, PSI, DKT DO BRASIL, National Commercial Transportation Union (NTC), PELA-VIDA, ISER, FURNAS, and Santos, Sao Paulo and Rio de Janeiro Department of Health.

Major Contractors: FAMILY HEALTH INTERNATIONAL - FHI

AID Project Manager: Mr. Miguel Fontes

Status of CPs/Covenants: N/A

FINANCIAL DATA

Amount Authorized: \$10,166,000

Amount Obligated: \$1,751,000

Amount Committed: Cumulative: \$795,000

Accrued Expenditures Period - Projected: \$451,000

Period - Actual: \$397,000

Cumulative: \$397,000

Period - Next \$375,000

Counterpart

Contribution: Planned for sub-projects (1st year): 300,000

Actual: 0

% of LOP Elapsed (as of March 31, 1993): 8%

% of Total Auth. Oblig.: 17%

% of Total Oblig. Exp.: 23%

% of Total Auth. Exp.: 4%

Date of Last Evaluation: N/A

Date of last Audit: N/A

Next Evaluation: November, 1994

Next Audit: N/A

109

II. PROJECT PURPOSE

AID/Brazil buy-ins to the worldwide AIDSCAP project were designed with the purpose of changing sexual behavior and reducing STD incidence among target populations (Men Who Have Sex With Men, Commercial Sex Workers, Men Away From Home, and STD patients) in the states of Rio de Janeiro and Sao Paulo.

RELATIONSHIP TO COUNTRY STRATEGY:

The AIDSCAP project is part of the third strategic mission objective, reduced rates of sexually transmitted HIV infection in target population in two geographic regions, described on the "MODIFIED PROGRAM OBJECTIVES DOCUMENT AND ACTION PLAN/AID/BRAZIL (FY 93-94)", April, 1992.

II. PROJECT DESCRIPTION

SUMMARY:

The AIDS Technical Support project is a broad-based, umbrella project under which a wide range of activities and sub-projects are undertaken to prevent and control HIV infection worldwide. This "new" project strategy involves the development of a targeted "AIDS strategic plan" in ten priority countries including Brazil.

The AIDSCAP project in Brazil was designed to implement a multi-disciplinary, multifaceted approach to all aspects of AIDS prevention and identifies some key areas for intervention, and within each major program component incorporates programming to address the crucial issues of communication, condoms, and STD control. All program components work to reduce risky behaviors, and control the spread of STDs among specific target populations.

Strategic and Implementation plans have been developed for Brazil. They identify two key regions (Sao Paulo and Rio de Janeiro) and four populations (CSWs, MWM, STD, and MAFH) for program development. Activities and sub-agreements have not been implemented due to the lack of resources during the first six months of the project (FY' 92). However, in-country institutions (NGOs, Private Sector, and Government) have been identified and collaboration efforts initiated. For FY' 93, it is expected that all activities planned will be

implemented and first overall evaluation be made in November, 1994.

ACCOMPLISHMENT DURING THIS PERIOD:

A. HIGH RISK POPULATION PROJECT (PROSTITUTES/CEARA): AIDSCAP/USAID approved a sub-agreement extension to support IMPACT/INTERAIDE program on AIDS prevention among prostitutes in Fortaleza/Sao Luiz. The project has the main purpose of training a core group of 13 peer-educators (prostitutes), who in turn will train 70 community leaders and 3,500 low-income prostitutes in Fortaleza and Ceara. The project will also receive support from other donor agencies (French Embassy, European Community, and MOH).

B. PRIVATE SECTOR LEVERAGING (FIESP/MOH): During the last 6 months, AIDSCAP worked with representatives from FIESP (Industrial Federation of Sao Paulo) and in-country MOH to develop an AIDS in the workplace agenda. AIDSCAP developed a workplan with FIESP to implement a project in a limited number of SP industries, reaching the work force and families through self-risk assessments technic, STD treatment, condom distribution, and policy reform. In addition, two AIDSCAP consultants spent two weeks with MOH to develop a national seminar of AIDS in the workplace, targeting Brazilian executives; this seminar will be held in September, 1993.

C. MOH SUPPORT: This activity, which has the main objective to provide technical assistance and training to Brazilian MOH department of AIDS/STDs, has been implemented successfully. Technical assistance related to condom distribution and logistics management have been provided, supporting MOH's effort in developing a national "condom" program under its World Bank Loan for next year. In addition, training activities have been organized with department's staff on STD and condom management in the US. From the total \$100,000 committed for this activity, \$42,000 were already spent.

D. BEHAVIORAL RESEARCH (COHORT STUDIES): USAID/Brazil has approved two proposal on behavioral research in Sao Paulo. The proposals are being implemented by the Federal University of Sao Paulo and the Municipal Health Department of Santos, and it is receiving technical assistance from CAPS (University of California). Both project have the main purpose to study prevalence of HIV incidence among port workers and youth. First quarterly reports are projected to be developed by June, 1993.

E. ABIA RAPID RESPONSE GRANT: A training booklet was developed with AIDSCAP resources to be distributed country-wide by ABIA (Brazilian Interdisciplinary Group on AIDS), one of the largest Brazilian NGO on AIDS prevention. The booklet was developed focusing train of trainers issues and was distributed to over 1,000 institutions, working in AIDS related issues around Brazil.

F. SAO PAULO AND RIO DE JANEIRO SUB-AGREEMENTS: AIDSCAP is finishing 1st official draft of all sub-agreements to be developed in Rio de Janeiro and Sao Paulo during the LOP. Proposals will be sent to USAID/Brazil in April and, after mission's approval, implemented in May.

G. PVO SMALL GRANT: All proposals received for the first year of the PVO Small Grant program were not approved by mission and AIDSCAP headquarters due to proposals limitations on focusing target audiences which are not USAID/Brazil priorities (i.e. IV drug users). For the second year of the program, mission requested R&D/Washington a list of PVOs working in Brazil to work close with them on the development of proposals. This technical assistance will be provided by AIDSCAP consultants and staff in Brazil.

H. COUNTRY OFFICE: The AIDSCAP project opened a new in-country office in Sao Paulo. This office is being directed by a Resident Advisor, who coordinates a staff of three administrative professionals. In addition, AIDSCAP hired a Rio de Janeiro representative for the activities being implemented in that state. For the following reporting period, AIDSCAP will hire a new data base specialist for projects related to "cohort studies" and other overall AIDSCAP activities. USAID/Brazil is working close with FHI to better define responsibilities of professionals working under AIDSCAP, the resident advisor was asked to develop a "scope of work" for AIDSCAP staff in country, which will be reviewed by the mission during next RP.

I. POLICY SUPPORT: USAID/Brazil has met with several state and federal government representatives on issues related to tariff reduction for condoms, logistics management, and other programmatic issues. The government of Sao Paulo is developing a state decret to cancel all state taxes for condoms through AIDSCAP and mission support. For the next RP, mission will continue to discuss with state and federal governments issues concerning AIDSCAP project activities implementation and overall status.

J. OTHER DONORS: It is projected that the MOH will implement its newly approved program with World Bank resources in the next reporting period. USAID/Brazil is supporting the MOH in the development of proposals for condoms, logistics management, and AIDS in the workplace. In addition mission is stimulating networking efforts with other national and international donor agencies (e.g. World Bank, UNICEF, European Community) to replicate successful AIDSCAP experiences to other areas of Brazil.

IV. PROJECT STATUS

A. Planned EOPS

1. Reduced risky sexual behavior among target populations (CSW, MWM, and MAFH)

Progress to Date

1st draft of sub-agreements developed.
CSW's sub-agreement in Fortaleza approved by USAID/Brazil.
Behavioral Research (Cohort studies) being conducted among MAFH groups in Santos and youth in Sao Paulo

112

Complementary activities
being developed and
implemented (AIDS
in the Workplace, MOH
support, PVO small grant,
and rapid response
grants)

2. Reduced STD in target
areas

1st draft of sub-
agreements developed
(SP & RJ)

B. Major Outputs

OUTPUTS Planned OUTPUTS Accomplished

SAO PAULO

TARGET GROUPS:

1. CSWs Interv. condom social marketing of Santos)	Create and develop developed efforts	sub-agreem. draft	(Health Dep.
--	--	-------------------	--------------

Increase quality of
STD diagnosis,
treatment and prevention
systems and availability

Develop methodologies
for Behavioral Change
Communications

2. MWM Interv. (PELA-VIDA)	Create and develop condom social marketing efforts	sub-agreem. draft developed
-------------------------------	--	--------------------------------

Increase quality of
STD diagnosis,
treatment and prevention
systems and availability

Develop methodologies
for Behavioral Change
Communications

3. MAFH Interv. Create and develop sub-agreem. draft (NTC)
 condom social marketing developed efforts
- Increase quality of
 STD diagnosis,
 treatment and prevention
 systems and availability
- Develop methodologies
 for Behavioral Change
 Communications
4. STD Interv. Create and develop sub-agreem. draft (SP Dep. of
 condom social marketing developed (SP Dep. of
 health) efforts
- Increase quality of
 STD diagnosis,
 treatment and prevention
 systems and availability
- Develop methodologies
 for Behavioral Change
 Communications

COMPLEMENTARY ACTIVITIES:

5. Private Sector Behavioral Change proposal being
 Leveraging (FIESP) Material Develop. and distrib. developed. Two
 AIDSCAP visited
 FIESP to initiate
 collaboration on an
 Increase Condom Demand AIDS in the
 workplace effort for
 Instit. Develop. Sao Paulo industries
- Policy Support
- Evaluation/research
- STD reduction
6. Behavioral Analysis of HIV/AIDS sub-agreement dev.

1/14

- | | | |
|--|--|---|
| research
(Dep. of
Health in
Santos) | prevalence among port
workers in Santos | and approved by
USAID/Brazil |
| | Behavior change study
among port workers in
Santos | |
| 7. Behavioral
research
(Univ. of
Sao Paulo) | Analysis of HIV/AIDS
prevalence among youth
in the city of SP | sub-agreement dev.
and approved by
USAID/Brazil |
| | Behavior change study
among youth in the city
of SP | |
| 8. Policy
dialogue
(State Gov.
of SP) | Reduce state
taxes (18% ICMs) for
condoms | Government of SP
is developing a
state decret to
cancel all state
taxes for condoms
with AIDSCAP support |
| 9. Logistics Mng.

(RJ health
dep.) | Development of a state
logistics system for
condom distribution to
AIDS program related
intervention in SP | proposal developed

and being revised
by SP health
department |

RIO DE JANEIRO

TARGET GROUPS:

- | | | | |
|-----------------|---|-------------------|--------|
| 1. CSWs Interv. | Create and develop
condom social marketing
efforts | sub-agreem. draft | (ISER) |
| | Increase quality of
STD diagnosis,
treatment and prevention
systems and availability | | |
| | Develop methodologies
for Behavioral Change
Communications | | |

2. MWM Interv. Create and develop sub-agreem. draft (ABIA)
 condom social marketing developed
 efforts
- Increase quality of
 STD diagnosis,
 treatment and prevention
 systems and availability
- Develop methodologies
 for Behavioral Change
 Communications
3. MAFH Interv. Create and develop sub-agreem. draft (FURNAS)
 condom social marketing developed
 efforts
- Increase quality of
 STD diagnosis,
 treatment and prevention
 systems and availability
- Develop methodologies
 for Behavioral Change
 Communications
4. STD Interv. Create and develop sub-agreem. draft (RJ Dep. of
 condom social marketing developed
 health) efforts
- Increase quality of
 STD diagnosis,
 treatment and prevention
 systems and availability
- Develop methodologies
 for Behavioral Change
 Communications

COMPLEMENTARY ACTIVITIES:

5. Rapid response Development of one newsletter developed
 Grants ABIA training news- and distributed

Handwritten signature/initials

- (ABIA) letter on primary AIDS prevention issues country-wide
6. Logistics Mng. (RJ Dep. of Health) Development of a state logistics system for distribution of condoms to program intervention in RJ proposal developed and being revised by state health department
7. Policy dialogue (Gov. of RJ) Reduce State taxes (18% ICMs) for condoms Government of RJ is developing a state decree to cancel all state taxes for condoms with support of AIDSCAP

FORTALEZA

1. CSWs Interv. (IMPACT) Behavioral Change activities to train 60 leaders, trained in small groups over a USAID/Brazil period of 6 months. Training of 13 CSWs peer-educators, who in turn will train 10,000 prostitutes in Fortaleza sub-agreem. developed and approved by
- Production of large quantities of materials which are currently being designed in USAID/Brazil collaboration with the CSWs and peer-educators sub-agreem. approved by
- Expand condom distrib. programs to include condom social Mark. to 300,000 condoms USAID/Brazil and distr. 20,000 free condoms in CSWs areas in Fortaleza sub-agreem. developed and approved by sell
- Development of a sustainability plan sub-agreem. developed

114

by the implementing agency (IMPACT), 3 months after the implementation of the project and approved by USAID/Brazil

Develop with state and sub-agreem. federal health developed and departments activities approved by related to tariff USAID/Brazil reduction for condoms and law enforcement toward improvements of STDs state clinics for CSWs and women in Ceara

Maintenance of HIV/AIDS sub-agreem. prevalence among CSWs developed and in Ceara. Stimulate approved by state prevalence studies USAID/Brazil by local institutions

Improvement of access to sub-agreem. sexually transmitted developed and disease (STD) diagnosis approved by and treatment. Ensure USAID/Brazil safe transportation of laboratory tests and organize training in AIDS related issues for 50 health post staff members (state and BEMFAM)

C. Other Accomplishments and Overall Status

AIDSCAP implementation plan received final approval from FHI, USAID/Brazil, and LAC Bureau in Washington in December, 1992. In addition, a new Action Plan was developed by the mission for FY' 93 to 95 and received approval from LAC Bureau in March, 1993.

D. Problems and Delays

Sao Paulo and Rio de Janeiro sub-agreements have not been received by mission for

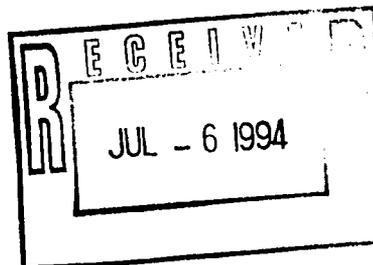
118

approval. AIDSCAP in-country office already sent all draft documents to FHI/Washington; however, some delays in finalizing the revision of the drafted sub-agreements have occurred.

E. Major Activities or Corrective Actions During the Next Six Months

Following there is a list of corrective actions and major activities to be organized in the next six months:

1. USAID/Brazil is following-up with representatives from the AIDSCAP project in and out of country to complete Rio de Janeiro and Sao Paulo sub-agreement papers by April, 1993.
2. Mr. Miguel Fontes, USAID/Brazil AIDS Project Officer, will leave AID in August, 1993, to complete his Master's degree in the US. USAID/Brazil will hire a new project officer in July, 1993.
3. USAID/Brazil will ensure that all activities and sub-agreements are signed by May, 1993 in Sao Paulo and Rio de Janeiro.
4. USAID/Brazil will follow-up with FIESP the development of an AIDS in the workplace program in Sao Paulo industries with AIDSCAP technical assistance.
5. USAID/Brazil will follow-up and coordinate with FHI studies related to baseline data for mission's AIDS prevention activities and Action Plan indicators.



) 199